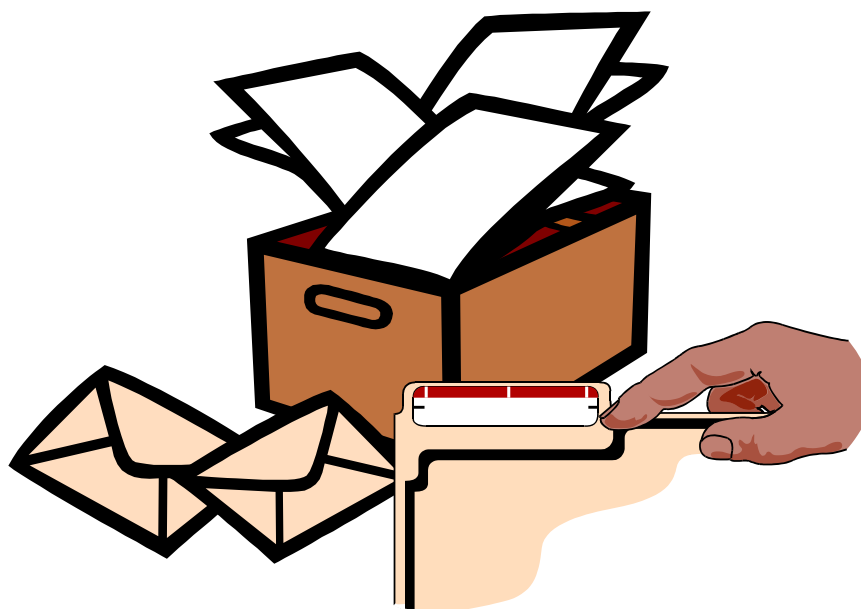


Records Retention and Disposition for Arizona Counties



**Arizona State Library, Archives and Public Records
Records Management Division**

**State Records Management Center
1919 West Jefferson Street
Phoenix, Arizona 85009
Phone: 602-542-3741
Fax: 602-542-3890
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*Preserving
Arizona*
PROVIDING ACCESS

Chapter 1 - The Life-Cycle Of Records

WHAT ARE RECORDS?

A discussion of records retention should logically begin with determining just what is a record. Definitions may vary depending on the author, context and scope of what is being defined. For the purposes of this discussion, the audience is Arizona County Government, and the legal definition, as it appears in the State Library statutes, shall apply.

As defined in the Arizona Revised Statutes (A.R.S. §41-1350) records are: *All books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics . . . made or received by any governmental agency in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government, or because the informational and historical value of the data contained therein . . .*

Records as defined above are the property of the State of Arizona. They are in no sense personal property nor are they the property of a specific agency or political subdivision (A.R.S. §41-1347).

It is frequently assumed that records are only paper materials. In the definition above the phrase "regardless of physical form or characteristics" greatly expands on that assumption. Records may include computer based records, still photographs, motion pictures, audio and video recordings, charts, maps, drawings, plans, micrographics and more.

E-RECORDS

E-records are those that reside in electronic computer systems "regardless of physical form..."¹. Those records created in an electronic/digital environment are referred to as "born digital" and may well spend their entire life-cycle in this form. E-records are a documentary product of e-government, or digital government.

The Arizona Electronic Transaction Act (A.R.S. §44-7001 et. seq.) authorizes state and local governments to establish electronic/digital systems for conducting their business. It also specifically requires that any records that are a product of these systems be managed pursuant to Arizona's government records statutes.

"ALERT" (Arizona 'Lectronic Records Taskforce)

ALERT was created by the Arizona State Library, Archives and Public Records as an advisory group meant to ensure that the electronic records management program established by the agency will address the needs of all affected government entities. The taskforce is composed of representatives from various state and local government agencies. The group welcomes participation and comments from concerned parties. More information may be found at the State Library web site, www.lib.az.us.

ELECTRONIC RECORDS MANAGEMENT (ERM)

Although this manual does not specifically address the management of electronic records, a separate manual "Managing Arizona Government Electronic Records" is being developed for that purpose. That manual is expected to be ready for publication in the first quarter of 2003.

THE CONCEPT OF THE RECORD LIFE-CYCLE

A life-cycle is simply the stages through which an organism passes during the course of its lifetime. Pertaining to records, it consists of the various phases a record passes through from the time of its creation or receipt to the time of its final disposition.

As with any inanimate, man-made item, the life-cycle of records is not determined by natural laws, but by the needs of the individuals creating and using records. Figure 1 illustrates the life-cycle of typical paper records.

RECORDS CREATION

The life-cycle of a record begins when it is created or received by an agency. A record is created whenever documentary information is placed onto a medium thus making intangible information into tangible records. This action takes place when forms are filled out, correspondence is written, reports are compiled and printed, information is recorded magnetically or electronically, etc.

The medium a record is produced on and the manner of creation does not significantly alter the concept of the life-cycle. All records are created, retained and disposed of on some cyclical basis.

RECORDS RETENTION

Records retention is the maintenance of documents for further use. Paper records are usually retained in office filing equipment while they are active. When activity; i.e., references to records; drops to a very

¹ A.R.S. §41-1350

low level they are considered inactive and may complete their retention in a records center.

Records centers are specifically designed to house inactive records far more economically and efficiently than in an office. Records centers are also more economical than microfilming for storage of any record with a retention of less than sixty years.

NON-RECORDS

The definition of records encompasses a broad spectrum of recorded information; but not all recorded information is a record. According to Statute (A.R.S. §41- 1350):

. . . Library or museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, and stocks of publications or documents intended for sale or distribution to interested persons, are not included within the definition of records . . .

Non-record materials *may* include:

- Reading file copies of correspondence
- Tickler, follow-up, or suspense copies of correspondence
- Identical duplicate copies of all documents maintained in the same file
- Extra copies of printed or processed materials, official copies of which have been retained for record purposes
- Superseded copies of published manuals and directives
- Routing slips
- Transmittal sheets
- Catalogs, trade journals, magazines, etc
- Information copies of correspondence
- Physical exhibits, artifacts, and material objects lacking documentary values

Non-records are usually not to be mixed with records in the same file. Sometimes materials normally considered non-record, such as transmittal or routing slips, acquire record status because they clarify the matter being documented. Such distinctions require care and discretion.

The fact that an item is a copy does not, in itself, give it non-record status. As Figure 2 shows, several copies of a single document may each have record status because each serves a separate program purpose. Multiple copies of a single record, however, generally are not all records. One copy of a document is usually designated as the "official" copy.

When it is difficult to decide whether files are record or non-record materials, the agency should treat them as records. The assistance of the Records Management Division, Arizona State Library, Archives and Public Records is always available to help with this decision.

BE CAREFUL WITH NON-RECORDS

From the standpoint of both state and Federal court Rules of Evidence, there is little if any difference between records and copies of records. During the discovery process of a civil suit the non-record copies are just as discoverable as evidence as the original records. Stay on the safe side and treat non-record copies as you would treat original records.

The Life-cycle of Records

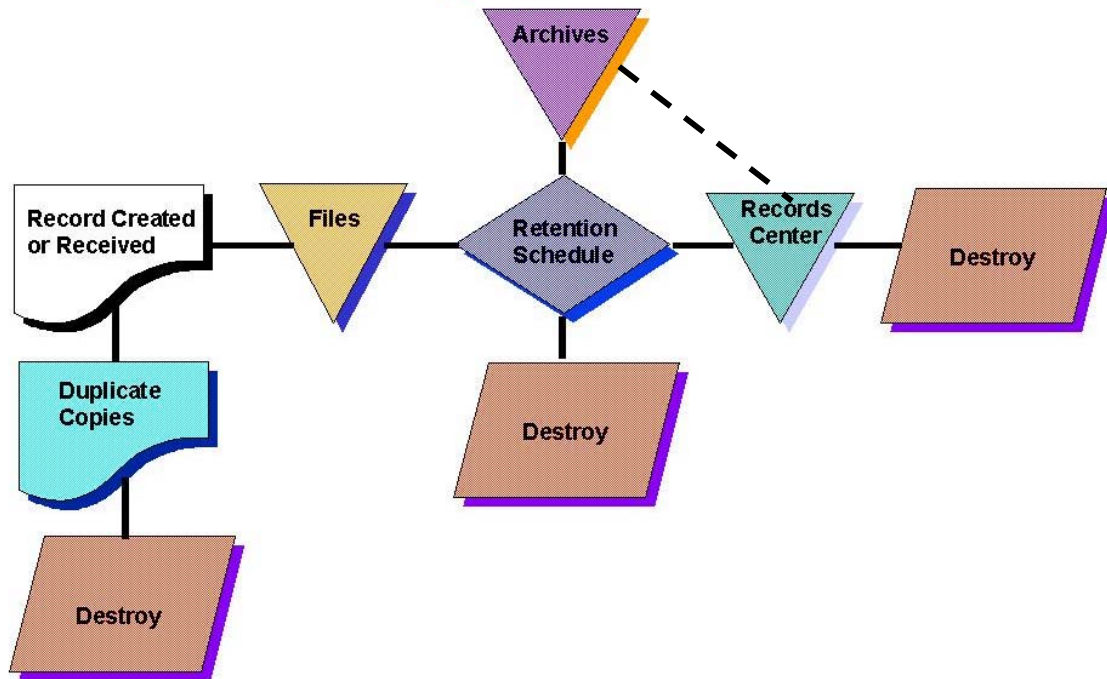


Figure 1

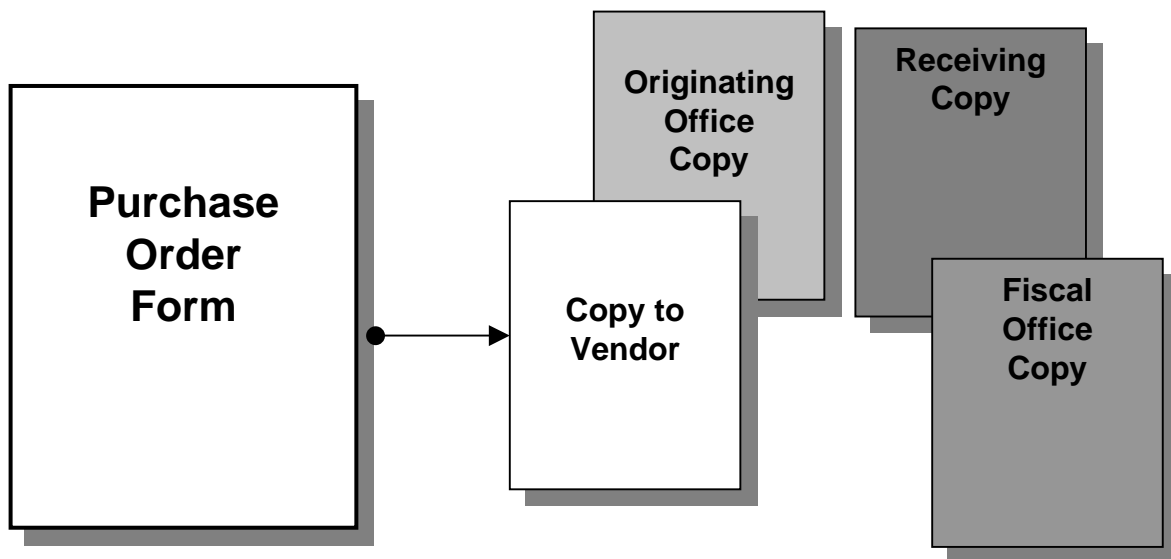


Figure 2

Chapter 2 - Records Inventory And Evaluation

RECORD SERIES

A record series is a group of like records that are filed together and treated as a unit for records management purposes. A records series may consist of many separate files, but it is treated as a single unit for all purposes relating to records retention.

A familiar example is “personnel files” one of which exists for every employee in the organization. Even though there may be hundreds or thousands of these files, they are referred to as a records series – “personnel files” - for records retention purposes

RECORDS INVENTORY

The first step in developing records retention and disposition schedules is to determine what records exist in an agency. This is ideally accomplished by taking a records inventory. The records inventory can be performed agency-wide or on an office by office basis.

The records inventory identifies and quantifies the records created and received by an agency. The inventory is the first step in the development of an agency's (department's) records program and becomes the working document for records retention and disposition schedules, file plans and essential records programs.

Simply defined, the records inventory is a list of each record series, together with an indication of where it is located and other pertinent data.

The inventory is not:

- A document by document listing
- A folder by folder listing

Non-record materials are not required to be included in the inventory. However, since non-records are discoverable and admissible as evidence it is advisable to *include* them in the inventory and describe them thoroughly. If they are duplicates or extra copies, indicate that they are not the record copy and show their use and proposed retention.

The inventory frequently produces some startling results. If an agency or department has not been following a systematic records disposition program the inventory will probably reveal:²

- 40% of the total volume will remain in the office.
- 30% of the total volume may be destroyed immediately.
- 30% of the total volume may be boxed and shipped to inactive storage.

TAKING THE INVENTORY

There are basically two methods of inventorying records: the physical inventory and the survey / questionnaire. In the physical inventory, personnel especially trained by and working for the agency records management unit inventory all records in an agency. They use a carefully designed inventory form which provides for all necessary information. The physical inventory is the most accurate and complete method for determining exactly what records exist in an agency.

In the questionnaire method, a well designed questionnaire(s) is distributed to all unit managers for completion by personnel from each unit. This requires commitment and cooperation from each unit. This method can be efficient and effective providing that the individual units cooperate fully with the records management staff.

Before the inventory begins, agency structure, the levels of authority and program responsibilities need to be understood. They can serve as clues to the existence and location of records within the agency. The following matters should be considered:

- Which are the key line and staff offices?
- What programs does the agency have?
- What units are responsible for developing policies?
- What units are charged with carrying out policies?
- What is the nature of staff support activities?

Equally important is a prior knowledge of the agency or department filing systems. The following questions need to be answered:

- Is there a prescribed agency wide filing system? If so, how widely is it used?
- Is there a prescribed file classification system?
- Is there a central file? Does it operate as planned? At what levels?
- Is there an automated records management system or document management system in use by the agency.
- Where is essential documentation likely to be?

RECOMMENDED INVENTORY FORMAT

The records inventory worksheet recommended is illustrated in Figure 3. This form is available from the Records Management Division, Arizona State Library, Archives and Public Records. The form can be used for either a physical inventory or as a questionnaire. It should be filled out completely and correctly as it will be the basis for any proposed retention and disposition schedules

²ARMA International, Overview of Records and Information Management, 1985.

RECORDS INVENTORY WORKSHEET	
AGENCY:	DIVISION:
SUB-ORG. UNIT:	CONTACT NAME:
RECORD SERIES NAME:	
<input type="checkbox"/> Official Copy <input type="checkbox"/> Info. Copy	
RECORDS MEDIUM:	
<input type="checkbox"/> Paper <input type="checkbox"/> Microfilm <input type="checkbox"/> Electronic/Computer <input type="checkbox"/> Electronic Image	
DESCRIPTION (IF NAME IS NOT DESCRIPTIVE):	
<hr/> <hr/>	
INCLUSIVE DATES IN FILE:	
From _____ Through _____	
RECORD(FILE) CUT-OFF:	
<input type="checkbox"/> After Calendar Year <input type="checkbox"/> After Fiscal Year <input type="checkbox"/> After Event (case completion; project completion; etc.)	
VOLUME OF RECORDS (SELECT ONE):	
_____ cubic feet _____ lineal inches _____ file drawers	
USE FREQUENCY OF RECORDS:	
current year _____ ref./month 2 thru 5 years old _____ ref./month past year _____ ref./month over 5 years old _____ ref./month	
RETENTION:	
Legal Requirement: _____ years after _____ Citation _____	
Office Recommendation _____ years after _____	
Current retention from approved schedule _____ years after _____	
ELECTRONIC/COMPUTER MEDIA ONLY:	
Operating system: _____	
Application program: _____	
Data format: _____	
COMMENTS:	
<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	

RMC-9 R3/98

Figure 3

Chapter 3 – Records Evaluation / Appraisal

EVALUATION / APPRAISAL

Evaluation is a term used by records managers to determine the retention value of various record series. The information gathered in the records inventory is used to evaluate the records for determining retention periods. Evaluation for retention periods is based on:

- Statutory or regulatory requirements
- Audit requirements
- Practical need or value

Statutory or regulatory requirements for specific records retention periods are infrequent. Statutes and regulations are sometimes geared toward actions rather than records. Records retention may be inferred, however, by the need to provide evidence of a particular action. When a statute or regulation is being cited as the basis for a retention period, the specific statute or regulation must be indicated on the records inventory and on the subsequent retention schedule.

Audit requirements usually apply only to financial or fiscal records. These requirements are most often limited to retention for three to five years. Federal requirements are almost always listed in the Code of Federal Regulations (CFR) and are therefore also regulatory requirements. Do not assume retention periods based on what an individual auditor wants. This determination should be made only by the auditing authority.

Practical need is determined by specific values:

- **Administrative value.** Records which help or document administrative activities have administrative value. Retention can vary greatly on these records depending on just what the records document. Many documents at operational levels are actually non-records by definition because they are duplicates of record copies and/or they are working papers which are summarized into higher level records.
- **Evidential value** refers to records which provide evidence of an agency's organizational structure and functions. They include policies, directives, board minutes, organizational documents, etc. Most of these records have long term or archival value. Fortunately, these are a very small percentage of an agency's records.
- **Informational value** is based on the information contained in the records. Informational value usually decreases with time. Informational value can most often be determined by studying the use of the record series over a period of time.

APPRAISAL OF PERMANENT / ARCHIVAL RECORDS

Appraisal is a term used by archivists meaning the assessment of the records for historical value. These records are usually considered for permanent retention.

Permanent, as used by records managers and archivists, literally means forever, and records with this value are relatively rare. Records with historical / permanent value usually comprise no more than five percent of the total of all government records. Frequently original copies of evidential records are of permanent or "archival" value. These include:

1. Board Minutes of boards, commissions and committees established by statute, resolution, proclamation or ordinance
2. Board of Supervisors Minutes
3. Original or "official" copies of formal policy directives
4. One copy of the agency annual reports
5. Original copy of organizational documentation including charts
6. Records documenting a historic or "land-mark" event

The archivists at the History and Archives Division welcome the opportunity to appraise agency records. Please call 602-542-4159 to arrange for a professional appraisal.

Arizona law A.R.S. §39-101 prescribes for the materials and storage conditions required for permanent public records and prescribes the penalty for non-compliance.

DETERMINING RECORDS RETENTION

The evaluation process is used to determine the retention period best suited to a record series. No record should be destroyed while it still has significant value. On the other hand, no record should be retained after its value has been exhausted.

Records should never be retained only because "someone might need them someday." Maintaining records uses valuable resources and is costly — only records of value should be maintained.

Most records are kept for informational value. Usually, informational value decreases as time passes. A "typical" record will have most of its informational value immediately after its receipt or creation. This value then drops off or decreases over a period of time.

Ultimately, the determination of government records retention periods is the responsibility of the Arizona State Library, Archives and Public Records (A.R.S. §§41-1347 and 41-1351).

Chapter 4 - Records Retention and Disposition Schedules

SCHEDULING RECORDS

The primary objective of the records inventory and records evaluation is to provide the data necessary to produce records retention and disposition schedules. These schedules are simply timetables that identify the length of time records must be kept in active and inactive status prior to final disposition.

A records retention and disposition schedule describes the life-cycle of specific record series. It is a reference and a management tool to be used to prescribe the time to retire records to inactive status and eventually the time to destroy or otherwise dispose of the records. A.R.S. §41-1346 requires that each state and local agency submit proposed retention and disposition schedules to the Arizona State Library, Archives and Public Records.

Records Retention and Disposition Schedules are best developed along organizational lines, with schedules written for specific organizational units. Organizationally-based schedules facilitate both transfer of inactive records to an inactive records center and final destruction of old records.

Retention schedules should be reviewed at least every 2 years and revised as needed. Since public laws, regulations and office operations are constantly revised, improvements in equipment and work methods become necessary. The information resources of public agencies must adapt to respond to these changes. Revisions to retention schedules may be initiated by either agency management or the Arizona State Library, Archives and Public Records.

COUNTY RECORDS CENTER

Pursuant to A.R.S. §11-251.03 the boards of supervisors of Arizona counties are authorized to establish a central records center for their county. The records center is usually a facility designed and used to house inactive records in a controlled but inexpensive environment. Any county operating or planning for a records center is welcome to call Arizona State Library, Archives and Public Records for free advice or consultation at 602-542-3741.

RECORDS RETENTION AND DISPOSITION SCHEDULE

The required format for the retention and disposition schedule is illustrated in Figure 5. Some county agencies may want to prepare their own custom retention and disposition schedules using this form rather than the schedule already provided in this manual. Blank forms are available in both paper and computer format (PDF) from the Records Management Division, 602-542-3741. A “fillable” PDF version is also available for

downloading from the Record Management Division web pages at www.lib.az.us

CONCURRENCE BY COUNTY AGENCY MANAGEMENT

Prior to submission to Arizona State Library, Archives and Public Records for approval, retention schedules must have the concurrence of the management of the office or agency submitting the schedules. There is a place for a signature in the upper right part of the form.

Following Arizona State Library, Archives and Public Records approval, it is advisable to incorporate the retention schedule into the agency directives or policies.

AUTHORIZATION TO DESTROY RECORDS

After approval by the Arizona State Library, Archives and Public Records, the retention and disposition schedules become the authorization to destroy records or to transfer records to the State Archives at a designated point in time. No further authority is required to destroy the records.

CAVEAT (WARNING)

*Approved schedules **DO NOT** pre-empt good judgment. Records required for legal or audit purposes beyond the recommended retention must be maintained until cleared by the appropriate authority before destruction. Likewise, extensions of retention for other reasons may be requested from the Arizona State Library, Archives and Public Records.*

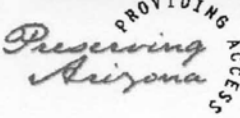
RECORDS RETENTION AND DISPOSITION SCHEDULE							
		Arizona State Library, Archives and Public Records RECORDS MANAGEMENT DIVISION 1919 West Jefferson Street Phoenix, Arizona 85009 Phone: 602-542-3741 Fax: 602-542-3890 E-mail: rmd@lib.az.us					
		PAGE 1 of					
		State Agency Password		Political Subdivision		Agency Name	
		Org. Unit/Division		Office		Phone	
Address		City		AZ		Zip	
Submitted By (Name)		Title		Signature X			
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.							
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS	
			Off.	R.C.	Total	(Include start point of retention.)	
						Supersedes Schedule Dated:	
Approved by: X Director, Arizona State Library, Archives and Public Records <small>RMC-2 R9/01</small>						Approval Date:	

Figure 4

Chapter 5 – General Records Retention Schedules

GENERAL SCHEDULES

General schedules are comprised of record series that are common to all agencies. Rather than develop retention and disposition schedules for each agency including these common record series, a general schedule is developed to cover all the like offices in various agencies.

The general retention and disposition schedules ensure consistent and standardized retention periods for similar record series from various agencies. The record series included are usually administrative in nature and are not those records specific to the mission of the agency.

The general schedules included in this manual are designated “All” to indicate their appropriateness for all agencies. They list many common record series, and provide retention and disposition requirements for these records. The schedules have all the necessary authorization and represent the legal, practical and economical life cycles for these records.

No further authorization is required to destroy these records after the total retention period is over. However, ***destruction of these records must be reported to Arizona State Library, Archives and Public Records.*** See Chapter 8, Records Destruction.

These schedules DO NOT preempt good judgement. Records required for legal or audit purposes beyond the recommended retention must be maintained until cleared by the appropriate authority before destruction.

FUNCTIONAL SCHEDULES

The general records are functional in nature with the following functions covered:

- All - Office Administration
- All – Agency/Dept. Management
- All – Agency Financial

OFFICE ADMINISTRATION records are those common to all (or most) office or unit locations within any agency. The record series covered in this schedule are broad and general by nature and may include many specific types of documentation and information.

AGENCY MANAGEMENT records are those that are concerned with the actual management of a complete agency. The records included in this schedule are common to virtually all county agencies and are of a general nature. Specific records produced in the management of the agency which **directly** concern the objective or mission of the agency are either found in the model retention schedules or must be listed on a separate customized retention and disposition schedule and

submitted to Arizona State Library, Archives and Public Records.

AGENCY FINANCIAL records are *copies* of original financial records being maintained for information and administrative purposes by the originating agency. They are **not** the official copy used in the course of a financial audit. The *official* copies are filed at the county finance office. They are records retained strictly for the administration of the agency. If an agency is maintaining the original/official copies of financial records the agency should use the “Finance” retention and disposition schedule.

Chapter 6 - Model Standardized Retention Schedules for County Officials and Agencies

MODEL SCHEDULES

This chapter contains records retention and disposition schedules for most county officials and agencies. The schedules are organized alphabetically by the title of the official or the name of the agency:

- All - Office Administration
- All - Agency Financial
- All - Agency/Dept. Management
- Administrator/Manager
- Adult Probation - Superior Court
- Assessor
- Board of Supervisors, Clerk
- Building Safety/Permits
- Constables
- County Attorney
- Elections
- Emergency Services/Management
- Environmental Health
- Equipment/Vehicle Services
- Facilities Management
- Finance
- Health Services
- Internal Audit
- Justice Court
- Library
- Medical Examiner
- Parks and Recreation
- Personnel/Human Resources
- Planning and Zoning
- Public Defender
- Public Fiduciary
- Public Works/Landfill
- Purchasing/Procurement
- Recorder
- School Superintendent
- Sheriff
- Superior Court, Clerk of
- Transportation/Highway
- Treasurer

These records retention and disposition schedules were originally developed from schedules submitted by various county officials and agencies.

LEGAL APPROVAL

The following retention and disposition schedules have been approved by the Director, Arizona State Library, Archives and Public Records pursuant to ARS §41-1347 and 41-1351.

These schedules may be used by any county official or agency. Records destroyed in accordance with

these schedules must be reported to the Arizona State Library, Archives and Public Records on a *Report of Records Destruction*. This procedure is described in Chapter 8.

CUSTOM RETENTION SCHEDULES

If the model records retention and disposition schedules do not meet the needs of a particular official or agency then customized and individualized schedules are recommended. Development of these schedules is described in Chapters 3 and 4.

Some of Arizona's counties have a records manager or records management coordinator. The individual in this position should be able to assist officials or agencies in developing customized schedules.

The Records Management Division of the Arizona State Library, Archives and Public Records is also a source of assistance when developing customized records retention and disposition schedules. The Records Management Division has Records Management Analysts on staff to assist with the development of schedules. For assistance call (602) 542-3741.

FOLLOWING RETENTION SCHEDULES

Whether the model schedules are used or custom schedules developed, the retention periods for the records series should be followed carefully and faithfully. The retention and disposition schedules comprise an approved routine records program so long as they are followed.

There is no danger of being accused of destroying documentary evidence if the schedules are followed carefully and not selectively. Records must never be destroyed for the purpose of eliminating potentially damaging evidence. On the other hand, the courts have recognized that records destroyed in the course of normal business and through a documented records retention program are legitimately not available if requested past their scheduled destruction date.

Approved schedules DO NOT pre-empt good judgment. Records required for legal or audit purposes beyond the recommended retention must be maintained until cleared by the appropriate authority before destruction.

Records subpoenaed or otherwise required by the court, pertinent to current or pending litigation or currently subject to audit should not be destroyed even if the approved schedule indicates they could be.

Similarly, if you believe records should be kept beyond their retention period because they have historical or archival value, contact Records Management Division to request an extension.

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 3

ALL ARIZONA COUNTIES				Function: All – Office Administration		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
1	<p>NOTE: "Office Administration" records are those administrative records that may be found in any organizational unit office.</p> <p>General correspondence - not related to a specific case or project:</p> <p>a. Official copy (signed original or a copy of the signed original)</p> <p>b. Final draft maintained in a computer system on hard disk, floppy disk or server.(non-record copy retained for convenience)</p> <p>c. Earlier drafts (paper or electronic form)</p> <p>d. Other copies (paper or electronic form) retained for convenience</p> <p>NOTE: General Correspondence covers a very wide variety of subjects from a wide variety of authors. Some of these materials may have long term or historical value. Contact History and Archives Division if you wish a professional archival appraisal of any of these documents.</p>		-	-	2	After created or received
			-	-	3mo	After official copy created
			-	-	-	After superseded
			-	-	3mo	Or after informational value is served, whichever is sooner
2	<p>E-mail:</p> <p>a. Records* (including sender and receiver identification, time and date sent and received, and complete message) preserved and retained on a PC or on a server</p> <p>b. Records* (including sender and receiver identification, time and date sent and received, and complete message) printed to paper and preserved and retained in that form</p>		-	-	-	Retain for the same length of time as required for other forms of the record
			-	-	-	Retain for the same length of time as required for the record series
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 2 of 3

ALL ARIZONA COUNTIES			Function: All – Office Administration			
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
	c. Records* sent as attachments to e-mail d. Routine non-record communications e. E-mail server backups f. E-mail user directories and distribution lists <i>*Meeting the requirements of the definition of a record pursuant to A.R.S. §41-1350.</i>		-	-	-	Retain for the same length of time as required for other forms of the record
			-	-	3mo	Or after informational value is served, whichever is sooner
			-	-	1mo	After date backup was run
			-	-	-	Maintain current
3	Transitory materials including correspondence of little or limited reference value, transmittals and informational bulletins		-	-	3mo	After created or received
4	Appointment calendars		-	-	1	After calendar year created
5	Reference materials including duplicate files or documents, periodicals, catalogs, published reports, etc (non-records)		-	-	3	Or after informational value is served, whichever is sooner
6	Working documents including notes, drafts, feeder reports, etc. used in the development of final or summary records		-	-	-	After completion of the final record
7	Progress/Activity reports (except official agency annual report) including weekly or monthly reports to supervisors and managers		-	-	1	After fiscal year created or compiled
8	Office internal administration records including work procedures, office assignments, work schedules, etc.		-	-	3	After revised or discontinued
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3****ALL ARIZONA COUNTIES**

Function:

All – Office Administration

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
9	Logs including telephone message logs, sign-in sheets, etc.		-	-	1	After last entry date
10	Employee time and leave documents (unit of assignment copy only) including leave requests and time sheets		-	-	1	After calendar year created
11	Financial documents (office copies only) including order requisitions, purchase orders, claims, travel claims, invoices, cash receipts, petty cash, etc.		-	-	1	After fiscal year created or received
12	Voice mail		-	-	-	Erase or otherwise destroy messages following taking required action.
13	Voice mail backup		-	-	1mo	After date backup is run
14	Employee personnel files (supervisor's copy)		-	-	6mo	After termination or transfer
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 2
ALL ARIZONA COUNTIES

Function:

All – Agency Management

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	NOTE: "Agency Management" records are those records usually found in the office of the agency director or chief executive.					
1	Minutes: a. Board or Supervisor (office copy) b. Decision making committees, boards or commissions c. Advisory committees, boards, commissions, task forces, ad hoc groups, etc. d. Audio or video tapes of open meetings		-	-	3	After fiscal year of meeting (official copy at Clerk of the Board)
			-	-	Perm	Preserve pursuant to A.R.S. §39-101
			-	-	3	After calendar year created
			-	-	3mo	After date of meeting and transcription of minutes
2	Other records of committees, boards, commissions, etc. including agendas, notes, correspondence, etc.		-	-	3	After calendar year created
3	Final reports generated by special committees, task forces, commissions, consultants, etc. a. Reports resulting in no action by governing body b. Reports resulting in a project or program NOTE: Some of these reports may involve high profile or otherwise noteworthy projects that may have long term or historical value. Contact History and Archives Division if you wish a professional archival appraisal of any of these files.		-	-	5	After report submitted
			-	-	-	File with project or program records
4	Agency policies, directives, or administrative orders (official copy)		-	-	Perm	Preserve pursuant to A.R.S. §39-101
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 2**

ALL ARIZONA COUNTIES				Function: All – Agency Management		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
5	Agency annual report to county board of supervisors or county manager (agency copy)		-	-	10	After year reported
6	Legislation/lobbying files		-	-	5	After calendar year of activity
7	Record retention and disposition schedules (agency copies)		-	-	1	After revised (Official copy at ASLAPR.)
8	Certificate (reports) of records destruction		-	-	2	After fiscal year records destroyed (Official copy at ASLAPR.)
9	Approved requests for imaging utilization		-	-	1	After renewed or terminated
10	Intergovernmental agreements (IGAs)		-	-	3	After canceled, suspended, expired or replaced with new IGA
11	Audit reports (agency copy)		-	-	5	After audit completed NOTE: Pursuant to A.R.S. § 9-481 one copy of the audit shall be sent to the Arizona State Library, Archives and Public Records.
12	Public Information Records including press releases, photographs, scrap books, public service announcements, etc.		-	-	Per m	Preserve pursuant to A.R.S. §39-101
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 1
ALL ARIZONA COUNTIES

Function:

All – Agency Financial

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Agency budget request including work papers (agency copy)		-	-	3	After fiscal year submitted
2	Agency appropriated budget (agency copy)		-	-	3	After fiscal year concerned
3	Expense accounting records including requisitions, purchase orders, receiving documents, claims, etc. (agency copy)		-	-	1	After fiscal year created or received (official copy at county finance office)
4	Revenue accounting records including cash receipts (agency copy)		-	-	1	After fiscal year created or received (official copy at county finance office)
5	Employee time and leave records including leave request documents and time sheets (agency copy)		-	-	1	After calendar year created or received (official copy at county finance office)
6	Capital inventory		-	-	1	After fiscal year created (official copy at county finance office)
7	Grant files (agency copy)		-	-	1	After final payment on grant (official copy at county finance office)
	NOTE: This schedule is for agency convenience copies only. If any of these records are the official record, refer to the "Finance" schedule.					
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 1
ALL ARIZONA COUNTIES

Function:

Administrator/Manager, County

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Activity reports submitted by county agencies: a. Weekly, monthly or quarterly submissions b. Annual reports		-	-	1	After fiscal year received
			-	-	10	After fiscal year received
2	Special project files <i>Some items in this record series documenting high profile issues should be retained for historical purposes. Consult with the State History and Archives Division (602-542-4159)</i>		-	-	5	After completion of project
3	Citizen complaint files		-	-	3	After file closed
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 2
ALL ARIZONA COUNTIES

Function:

Adult Probation, Superior Court

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. RETENTION (YR.)				REMARKS (Include start point of retention.)
		Code	Off.	R.C.	Total	
1	Banking records (including statements, cancelled or returned checks, reconciliations, etc.)		-	-	3	After fiscal year prepared or received
2	Cash transaction records (non-record copies)		-	-	1	After fiscal year prepared
3	Check/income (revenue) registers		-	-	3	After fiscal year prepared
4	Client sign-in rosters		-	-	1	After calendar year compiled
5	Employee personnel files: a. Department files b. Supervisor's files		-	-	2 -	After termination After termination transfer to dept. files
6	Expense accounting records (dept. copies)		-	-	3	After fiscal year prepared
7	General correspondence (not related to a specific case or project)		-	-	2	After calendar year prepared
8	Interview, selection and hiring files (including background checks, applications, cert. lists, etc.)		-	-	2	After position filled (29 CFR 1602.31)
9	IPS (intensive probation supervision) financial records		-	-	3	After program completed
10	Leave and attendance records (office copies)		-	-	2	After calendar year processed
11	Mileage records		-	-	2	After fiscal year received
12	Office management files (work assignments and routines)		-	-	1	After fiscal year prepared
13	Payroll reports (non-record copies)		-	-	1	After fiscal year prepared
14	Probation case files		-	-	3	After probation terminated
						Supersedes Schedule Dated: November 14, 1988

Approved by:

W.L. McDonald, Supreme Court & S.G. Womack, DLAPR

Approval Date:

July 15, 1993
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 2****ALL ARIZONA COUNTIES**

Function:

Adult Probation – Superior Court

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
15	Progress and activity reports		-	-	2	After fiscal year prepared
16	Receipt books (non-record copies)		-	-	3mo	After last entry
17	Reference materials		-	-	-	After reference value served
18	Reports of records destruction		-	-	2	After records destroyed
19	Restitution records		-	-	2	After account closed
20	Staff meeting records		-	-	2	After calendar year prepared
21	Statistical reports and summaries		-	-	5	After compiled. Evaluate for continued retention
22	Training files		-	-	1	After calendar year prepared
23	Transitory files		-	-	3mo	After month received
24	Work furlough records: a. Case management files including appointment books, screening evaluations, etc. b. Financial records		-	-	1 3	After program completed After program completed
25	Working documents including notes drafts, feeder reports, data analyses, logs, etc.		-	-	1	After fiscal year submitted
						Supersedes Schedule Dated: November 14, 1988

Approved by:

W.L. McDonald, Supreme Court & S.G. Womack, DLAPR

Approval Date:

July 15, 1993**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 3
ALL ARIZONA COUNTIES

Function:

Assessor

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Affidavits of value (Assessor's copy)		-	-	1	After calendar year of receipt (official copy transferred to ADOR per A.R.S. §11-1135)
2	Notice of hearing and value change:					
	a. Established by normal process		-	-	4	After calendar year processed
	b. Established by Tax Appeals Board / Board of Equalization		-	-	4	After substantial change from other source
3	Reclassification Affidavits		-	-	3	After calendar year filed
4	Recorder's dockets (Assessor's copy)		-	-	1	After calendar year of receipt (official copy at Recorder's office)
5	Split maps (Assessor's copy)		-	-	10	After calendar year of receipt (official copy at Recorder's office)
6	Resolutions (tax bill corrections)		-	-	5	After calendar year prepared
7	Tax rolls (Assessor's copy)		-	-	5	After calendar year received (official copy at Treasurer's office)
8	Agricultural property tax statements		-	-	4	After calendar year filed
9	Board orders (property value changes)		-	-	4	After calendar year processed
10	Business property tax notices		-	-	4	After calendar year prepared
11	Mobile home court reports		-	-	1	After calendar year received
12	Mobile home dealer reports		-	-	3	After calendar year received
13	Mobile home ad valorem tax clearance records		-	-	4	After calendar year processed
14	Mobile home property records		-	-	5	After calendar year prepared
15	Personal property statements		-	-	4	After calendar year prepared
Supersedes Schedule Dated: September 29, 1999						

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 2 of 3

ALL ARIZONA COUNTIES		Function: Assessor				
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
16	Exemptions (individuals and non-profit organizations)		-	-	7	After calendar year filed
17	Agricultural land files		-	-	6	After last activity
18	Cost / market model files		-	-	Perm	Preserve pursuant to A.R.S. §39-101
19	Golf course files		-	-	10	After calendar year filed
20	Land value files		-	-	10	After calendar year prepared
21	Board orders (Assessor's copy)		-	-	3	After calendar year received (official copy at Treasurer's office)
22	Petitions for review (A.R.S. §42-221):					
	a. Notice of decision issued by county board of equalization		-	-	4	After calendar year filed
	b. Notice of decision issued by State tax appeals board		-	-	4	After substantial change from other source
	c. Decisions issued from superior court		-	-	5	After substantial change from other source
23	Tract lists		-	-	1	After updated
24	Affidavit of tax exemption		-	-	4	After calendar year approved
25	Exemption listing (alpha report)		-	-	4	After updated
26	Reference proof list		-	-	7	After calendar year created
27	Affidavits for churches and organizations		-	-	5	After calendar year created
28	Annual reference for churches and organizations		-	-	5	After calendar year created
29	Aerial photographs and maps		-	-	5	After updated or revised
30	Annual assessment notices		-	-	10	After calendar year of notice
						Supersedes Schedule Dated: September 29, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 3 of 3
ALL ARIZONA COUNTIES

Function:

Assessor

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
31	Assessment rolls (original, delinquent and duplicate)		-	-	Perm	Preserve pursuant to A.R.S. §39-101
32	Commercial building permits (reference copies)		-	-	10	After calendar year received
33	Historical properties affidavits: a. Annual reports b. Applications		- -	- -	Perm 3	Preserve pursuant to A.R.S. §39-101 After calendar year filed
34	Motor vehicle registration financial records		-	-	3	After fiscal year created
						Supersedes Schedule Dated: September 29, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 4
ALL ARIZONA COUNTIES

Function:

Board of Supervisors, Clerk of

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Minutes: a. Board meetings b. The board sitting as other boards c. Executive sessions (confidential pursuant to A.R.S. §38-431.03) d. Advisory boards, commissions and committees e. Audio or video recordings of meetings with transcribed written minutes		- - - - -	- - - - -	Perm Perm 3 3 3mo	Preserve pursuant to A.R.S. §39-101 Preserve pursuant to A.R.S. §39-101 After calendar year of meeting (Recommend NOT using audio or video recordings.) After calendar year created After date of meeting (recycle by re-recording or writing over is recommended)
2	Ordinances		-	-	Perm	Preserve pursuant to A.R.S. §39-101
3	Resolutions		-	-	Perm	Preserve pursuant to A.R.S. §39-101
4	Monthly reports to the State Treasurer		-	-	5	After calendar year created
5	Annual report and statement to State Treasurer		-	-	5	After calendar year created Send copy of this report to ASLAPR, Research Division
6	Fee books / receipts		-	-	5	After fiscal year created (A.R.S. §38-411)
7	Special district files including open meeting public notices		-	-	3	After district dissolved
8	Financial disclosure statements		-	-	3	After term of office
9	Official oaths pursuant to A.R.S. §38-233 a. County Recorder's oath b. Other elective officials		- -	- -	5 -	After term expires Official copy filed in Recorder's office
10	Board of Equalization files: a. Tax roll correction orders b. Administrative appeals package		- -	- -	1 2	After board process ends After calendar year created Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 2 of 4
ALL ARIZONA COUNTIES

Function:

Board of Supervisors, Clerk of

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
11	Franchises / licenses (utilities, cable TV, etc.		-	-	6	After expired or revoked
12	Liquor licenses / permits		-	-	2	After calendar year of board recommendation
13	Public notices and affidavits of publication pursuant to A.R.S. §38-431.02		-	-	2	After calendar year published
14	Deeds		-	-	3	After fiscal year property is disposed of
15	Bond files		-	-	3	After fiscal year bond is paid or retired
16	Budgets: a. Approved and appropriated b. Working files (including dept. requests, supporting documents, etc.)		-	-	Perm 3	Preserve pursuant to A.R.S. §39-101 After fiscal year submitted Send one copy of the budget to ASLAPR, Research Division.
17	Contracts: a. Real estate or construction b. Goods or services c. Individual employment d. Lease purchase of equipment e. Equipment (straight lease)		-	-	3 6 6 3 6	After asset disposed of (not less than 6 years after acquisition) After expired canceled or revoked After expired canceled or revoked After asset disposed of (not less than 6 years after acquisition) After expired, canceled or revoked
18	Insurance files		-	-	6	After expired, canceled or revoked
19	Intergovernmental agreements (IGAs)		-	-	6	After expired, canceled or revoked
20	Bequests (gifts documentation showing county ownership)		-	-	3	After asset is disposed of (not less than 6 years after acquisition)
21	Special district bond issue files		-	-	3	After bond issue retired
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 3 of 4
ALL ARIZONA COUNTIES

Function:

Board of Supervisors, Clerk of

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
22	Sales tax reports (reported to State)		-	-	3	After fiscal year prepared or received
23	State compensation reports (reported to the State)		-	-	4	After fiscal year prepared
24	Treasurer's reports including board transactions, general receipts, charge-outs, etc.		-	-	3	After fiscal year received
25	Warrants and warrant registers		-	-	3	After fiscal year received
26	Nomination papers and petitions (required pursuant to A.R.S. §§16-311, 16-312 and 16-314)		-	-	2	After election *
27	Official election returns (required pursuant to A.R.S. §16-615)		-	-	6mo	After election*
28	Unofficial election returns (required pursuant to A.R.S. §16-616)		-	-	6mo	After election*
29	Election signature rosters (required pursuant to A.R.S. §16-617)		-	-	-	Transfer to Recorder pursuant to A.R.S. §16-170
30	Election precinct registers (required pursuant to A.R.S. §16-617)		-	-	6mo	After election*
31	Election abstracts of vote (required pursuant to A.R.S. §16-618)		-	-	6mo	After election*
32	Election condensed abstracts of vote (required pursuant to A.R.S. §16-619)		-	-	6mo	After election*
33	Tabulation of condensed abstracts (required pursuant to A.R.S. §16-620)		-	-	6mo	After election*
34	Election official canvass (required pursuant to A.R.S. §16-646)		-	-	2	After election.* (Forward certified permanent copy to the Secretary of State immediately following election.) Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 4 of 4
ALL ARIZONA COUNTIES

Function:

Board of Supervisors, Clerk of

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Cod e	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
35	Statements of contributions and expenditures by candidates at primary elections (required pursuant to A.R.S. §§16-905 to 16-907)		-	-	3	After term of office if elected; after election if not elected
36	Reports of collections and expenditures by campaign committee or other club or person (required pursuant to A.R.S. §§16-609 and 16-914)		-	-	3	After term of office if elected; after election if not elected
37	Statements of contributions and expenditures by a candidate at general or special elections (required pursuant to A.R.S. §16-913)		-	-	3	After term of office if elected; after election if not elected
38	Statements of collections, contributions and expenditures for a statewide referendum or initiative (required pursuant to A.R.S. §16-916)		-	-	3	After election
39	Annual reports of special taxing districts except those exempted pursuant to A.R.S. §48-251 C.		-	-	Per m	<p><i>* All records relating to the election of any federal official must be retained for 22 months from the date of the election. (U.S.C. §42-1974; P.L. 86-449)</i></p> <p>Preserve pursuant to A.R.S. §39-101</p> <p>Send copy of this report to ASLAPR, Research Division</p> <p>Supersedes Schedule Dated: March 11, 1999</p>

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COUNTIES**

Function:

Building Safety/Permits

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Construction plans, specs. and computations: a. Single family residential b. Commercial/Industrial c. Other including signs		- - -	- - -	3mo 5 3mo	After completion of work covered After completion of work covered After completion of work covered
2	Inspection reports and summaries: a. Single family residential b. Commercial/Industrial c. Other including signs		- - -	- - -	3 3 1	After calendar year permit is issued After calendar year permit is issued After calendar year permit is issued
3	Building permits		-	-	Perm	Preserve pursuant to A.R.S. §39-101
4	Permit supporting documents		-	-	1	After calendar year permit is issued
5	Certificate of occupancy		-	-	Perm	Preserve pursuant to A.R.S. §39-101
6	Code violation notices		-	-	3	After calendar year issued
7	Appealed code violations		-	-	3	After calendar year issued
8	Inspection schedules		-	-	1	After calendar year created
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES

Function:

Constables

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Accounting ledgers, journals, etc.		-	-	3	After fiscal year prepared
2	Audit reports		-	-	3	After received
3	Banking records (including canceled, voided or returned checks, warrants, deposits, reconciliations, statements, stubs, etc.)		-	-	3	After fiscal year prepared
4	Billing and collection files; cash transaction records, deposits, receipts, etc.		-	-	3	After fiscal year prepared
5	Certificates of service (office copies)		-	-	1	After completed
6	Returned mail		-	-	6mo	After received
7	Treasurer's reports		-	-	3	After fiscal year prepared
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES		Function: County Attorney				
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
1	Criminal cases: (Retention based on time limits pursuant to A.R.S. §13-107.)					
	a. Class 1 felonies – homicides; misuse of public funds; falsification of public records including dismissals without prejudice		-	-	25	After case closed
	b. All other homicides including dismissals with or without prejudice		-	-	10	After case closed (Retain minimum of 1 year beyond sentence imposed.)
	c. Class 2 through 6 felonies, other than homicides		-	-	2	After expiration of sentence / probation imposed.
	d. Sex crimes including dismissals without prejudice		-	-	-	After defendant dies or sentenced to a prison term which exceeds his / her probable life expectancy
	e. Misdemeanors		-	-	1	After case closed
	f. Fugitives		-	-	-	After date of order / mandate of extradition
	g. Dismissals without prejudice and no plea agreement – class 2 & 3 felonies		-	-	7	After case closed
	h. Dismissals without prejudice and no plea agreement – Superior court pre-arraignment		-	-	1	After case closed
	i. Dismissals without prejudice and no plea agreement – Justice court cases		-	-	1	After case closed
	j. Dismissals without prejudice and no plea agreement – all others		-	-	2	After case closed
	k. Dismissals without prejudice and with plea agreement		-	-	2	After expiration of sentence / probation imposed in plea agreement
	l. Dismissals for mental incompetency-class 1 felonies		-	-	25	After date of order / mandate
	m. Dismissal for mental incompetency – other than class 1 felonies		-	-	7	After case closed
	n. Dismissals with prejudice; not guilty verdicts other than homicides		-	-	2	After case closed
	o. Lower court appeals		-	-	1	After case closed
	p. Asset forfeitures		-	-	5	After case closed
2	Investigation files		-	-	5	After case closed
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 2 of 3
ALL ARIZONA COUNTIES

Function:

County Attorney

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
3	Civil cases: a. AHCCCS eligibility		-	-	10	After date filed; or may be destroyed upon receipt of a court order, dismissal, court closing or settlement
	b. Bankruptcy		-	-	4	After case closed
	c. Bond forfeitures		-	-	2	After case closed
	d. Condemnations		-	-	10	After case closed
	e. General litigation		-	-	6	After case closed
	f. Public fiduciary (legal review of select cases)		-	-	2	After case closed
	g. Revenue and collections		-	-	5	After case closed
	h. Risk management		-	-	6	After case closed
	i. Tax appeals		-	-	6	After case closed
	j. Tax condemnations		-	-	4	After case closed
4	County attorney opinions		-	-	10	After date issued
5	School district boundary changes		-	-	10	After effective date
6	Voting rights submissions to U.S. Dept. of Justice (redrawing boundaries of voting districts, precincts, etc.)		-	-	13	After fiscal year prepared
7	Juvenile cases: a. Traffic work files		-	-	-	Retain until juvenile reaches age 19
	b. Juvenile delinquency work files including petition / disposition for prosecuted cases		-	-	-	Retain until juvenile reaches age 23 (A.R.S. §8-247)
	c. Adoption work files (un-contested)		-	-	99	After date case is closed (A.R.S. §8-120)
8	Victim witness client information files a. All excluding first degree homicides		-	-	5	After date case is closed
	b. First degree homicides		-	-	15	After date case is closed
9	Bad check cases: a. Criminal complaints (work copies)		-	-	1	After adjudicated (original with prosecutor)
	b. Cases without complaints		-	-	1	After closed
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3****ALL ARIZONA COUNTIES**

Function:

County Attorney

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
10	Cancelled restitution Checks		-	-	3	After fiscal year paid
11	Restitution accounting records and reports		-	-	3	After fiscal year paid
12	Cash receipts		-	-	3	After fiscal year paid
13	Accounting system computer backup		-	-	-	Backup daily; rotate taped
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COUNTIES**Function:
Elections

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Absentee ballots and completed applications		-	-	-	Deliver to absentee board on day of election
2	Duplicate applications for absentee ballot		-	-	1	After the election
3	Signature rosters		-	-	-	Transfer to County Recorder pursuant to A.R.S. §16-170
4	Backup files relating to the conduct of each election (other than materials submitted at the Board of Supervisors meetings)		-	-	6mo	* After election
5	Duplicates and copies of records required by law to be on file with the Clerk of the Board of Supervisors or the Secretary of State		-	-	1	After election
<p>* All records relating to the election of any Federal official must be retained for 22 months from the date of the election.</p>						
<p>Supersedes Schedule Dated: March 11, 1999</p>						

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES

Function:

Emergency Services / Management

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Contract files:					
	a. Construction / real estate		-	-	3	After disposal of asset (retain a minimum of three years)
	b. Goods and services		-	-	6	After expired, canceled or revoked
	c. Personal services		-	-	6	After expired, canceled or revoked
2	Disaster assistance files		-	-	3	After year of final payment
3	Disaster response plans:					
	a. Official copy		-	-	Per m	Preserve pursuant to A.R.S. §39-101
	b. Non-records copies		-	-	-	Dispose of after latest revision published Send one copy of plan to ASLAPR, Research Division.
4	FEMA (Federal Emergency Management Agency) grant files		-	-	3	After fiscal year of final payment. Refer to specific requirements of the grant.

**Supersedes Schedule Dated:
March 11, 1999**

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 3****ALL ARIZONA COUNTIES**

Function:

Environmental Quality / Health

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Permitted establishment files including inspection reports, permit applications, food borne illness reports, citizen complaints, embargo & destruction reports, incident reports, correspondence, etc.		-	-	5	After date record is placed in file (When establishment closes, keep balance of the file for 5 years.)
2	Permit records including revenue receipts, unpaid permits, and permit copies		-	-	3	After permit expiration date
3	Establishment plans, plan reviews and construction correspondence		-	-	5	After establishment closes
4	Legal action records including cease and desist orders, stipulation orders, etc.		-	-	10	After calendar prepared or received
5	Citizen complaints (other than for permitted establishments)		-	-	3	After calendar year received
6	Food handlers training records		-	-	3	After calendar year of training
7	Water and sewer construction and improvement records: a. Federally funded projects expenditure records b. Locally funded projects expenditure records c. "As-built" plans		- - -	- - -	3 3 -	After final payment (Check recordkeeping requirements of funding agency.) After project completed Retain until plant is abandoned or demolished
8	Water and sewage treatment system maintenance records		-	-	10	After calendar year maintenance performed
9	Sewage treatment plant sludge incinerator records required pursuant to 40 CFR 153		-	-	2	After calendar year created (40 CFR 153)
Supersedes Schedule Dated: March 11, 1999						

**Supersedes Schedule Dated:
March 11, 1999**

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 3****ALL ARIZONA COUNTIES**

Function:

Environmental Quality / Health

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)		Total	REMARKS (Include start point of retention.)
			Off.	R.C.		
10	Sewage treatment – copy of semi-annual report to EPA		-	-	10	After period reported
11	Sewage treatment plant monthly operational reports		-	-	5	After calendar year created
12	Sewage treatment plant discharge monitoring reports		-	-	10	After calendar year of report
13	Individual sewage disposal systems including applications, permits, plot plans, engineering reports, etc.		-	-	-	Retain for the life of the facility
14	Sewer system plans (ACC certified companies)		-	-	-	Retain for the life of the system
15	Water treatment plant (ACC certified companies) records including permits, applications, plans, engineering reports, etc.		-	-	-	Retain for the life of the plant
16	Water system plans (ACC certified companies)		-	-	-	Retain for life of facility
17	Water system records of bacteriological analyses made pursuant to 40 CFR 141		-	-	5	After calendar year of analysis (40 CFR 141.33)
18	Water treatment records of chemical analyses made pursuant to 40 CFR 141		-	-	10	After calendar year of analysis
19	Water treatment records of action taken to correct violations of Federal primary drinking water regulations		-	-	3	After the last action taken on a particular violation (40 CFR 141.33)
20	Water treatment reports, summaries and correspondence relating to sanitary surveys of the water system		-	-	10	After completion of the sanitary survey (40 CFR 141.33)

**Supersedes Schedule Dated:
March 11, 1999**

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3****ALL ARIZONA COUNTIES**

Function:

Environmental Quality / Health

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
21	Water treatment records of any variance or exemption granted to the water system		-	-	5	After expiration of variance or exemption (40 CFR 141.33)
22	Water treatment sampling data and analyses, reports, surveys, letters, evaluations, schedules, State determinations, etc. required pursuant to 40 CFR 141.81 through 141.88		-	-	12	After calendar year of creation or receipt (40 CFR 141.91)
23	Water and sewer billing records		-	-	3	After fiscal year prepared
24	Subdivision and trailer park files: a. Preliminary plans, plats, inspection reports, correspondence, complaints, etc. b. Final plats and certificates c. Reports of annual compliance inspections		-	-	1	After calendar year approved
			-	-	30	After calendar year of approval
			-	-	3	After calendar year prepared
25	Public and semi-public swimming pool files including plans, investigative reports, correspondence, applications, permits, etc. ACC = Arizona Corporation Commission		-	-	5	After calendar year of final approval
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES

Function:

Equipment/Vehicle Services

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Equipment/vehicle history files		-	-	3	After disposal of equipment/vehicle
2	Equipment/vehicle inventory reports		-	-	3	After fiscal year of report
3	Parts inventory reports		-	-	3	After fiscal year created
4	Parts and supplies purchasing records		-	-	3	After fiscal year created
5	Maintenance/repair work orders		-	-	3	After fiscal year completed
6	Fuel pump receipts		-	-	3	After fiscal year created
7	Accident reports (personal injuries)		-	-	5	After calendar year of accident (29 CFR 1904.2; 29 CFR 1904.4)
8	Accident reports (no personal injuries)		-	-	3	After calendar year of accident
9	Billing records (to various cost centers or organizational units)		-	-	3	After fiscal year created
10	Fuel tank records indicating the location, dimensions and volume of the tanks		-	-	-	Retain for the life of the tank (40 CFR 60.116b)
11	Fuel tank records showing the volatile organic liquid (VOL) stored, the period of storage and the maximum true vapor pressure		-	-	2	After calendar year created (40 CFR 60.116b)
12	Fuel tank inspection records		-	-	2	After calendar year created (40 CFR 60.115b)
13	Fuel tank gap measurement records		-	-	2	After calendar year created (40 CFR 60.113b)
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES

Function:

Facilities Management

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Architectural/Engineering requests for proposal		-	-	3	After fiscal year of request
2	Request responses – not selected		-	-	3	After fiscal year of request
3	A/E contracts and agendas		-	-	6	After contract completed, expired, canceled or revoked
4	A/E payment records		-	-	6	After contract completed, expired, canceled or revoked
5	Utility and regulatory fees		-	-	3	After fiscal year incurred
6	Construction request for bids		-	-	3	After fiscal year of bid
7	Construction contracts and agendas including change notices and addenda		-	-	6	After disposal of asset
8	Construction bids – not selected		-	-	3	After fiscal year of bid
9	Construction files including inspection reports, progress reports, meeting minutes, etc.		-	-	6	After construction contract completed
10	“As-built” plans, specifications and shop drawings		-	-	-	Retain for life of the facility (If facility is sold, transfer to new owner.)
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 3****ALL ARIZONA COUNTIES**

Function:

Finance/Accounting

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Audit Reports		-	-	5	After fiscal year received
2	Ledgers and journals (except general ledger annual summary)		-	-	10	After fiscal year prepared (per ADOR)
3	General ledger annual summary or annual financial statement		-	-	Perm	Preserve pursuant to A.R.S. §39-101
4	Banking records including deposits, reconciliations, statements, check or warrant registers, etc.		-	-	10	After fiscal year prepared or received (per ADOR)
5	Checks/warrants (canceled, voided)		-	-	3	After fiscal year returned or voided
6	Unclaimed property records:					
	a. Un-cashed payroll checks/warrants		-	-	10	After date issued (per ADOR)
	b. Un-cashed payment checks/warrants		-	-	10	After date issued (per ADOR)
	c. Unclaimed property reports required per A.R.S. §44-307		-	-	5	After date report is filed (A.R.S. §44-323)
	d. Supporting documentation not previously listed		-	-	5	After date the report is filed (A.R.S. §44-323)
7	Billing and collection files		-	-	3	After fiscal year prepared
8	Capital equipment inventories (updated listings)		-	-	3	After fiscal year prepared
9	Capital equipment disposal authority		-	-	3	After fiscal year prepared
10	Capital equipment amortization records		-	-	3	After fiscal year prepared
11	Cash transaction records including deposits, receipts, fund transfers, etc.		-	-	3	After fiscal year prepared
12	Documentation for federal grants		-	-	3	After fiscal year of final expenditure report submitted. Refer to specific requirements of funding agency.

**Supersedes Schedule Dated:
August 8, 2000**

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 3****ALL ARIZONA COUNTIES**

Function:

Finance/Accounting

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
13	Documentation for state grants in aid (not including federal pass-through funds)		-	-	3	After fiscal year of final expenditure
14	Expense accounting records including claims, demands, vouchers, vendor invoices, receiving reports, and other supporting documents:					
	a. Capital expense exceeding \$10,000 for land buildings and improvements; \$5,000 for vehicles, furniture and equipment		-	-	3	After disposal of asset
	b. All others		-	-	3	After fiscal year prepared
15	Revenue records		-	-	3	After fiscal year prepared
16	Payroll registers (gross & net)		-	-	4	After fiscal year prepared (26 CFR 31.6001 et. seq.; 20 CFR 404.1225)
17	Payroll – employee status change		-	-	3	After fiscal year prepared
18	Payroll – employee time and leave records (official copy)		-	-	3	After fiscal year prepared (29 CFR 516.2)
19	Payroll deduction records		-	-	4	After fiscal year prepared (20 CFR 404.1225)
20	Payroll – employee benefits files including group insurance		-	-	6	After termination of employment (29 USC 1113)
21	Payroll – W-2 records of remuneration paid to employees		-	-	4	After the date due of such tax for the return period (26 CFR 31.6001-1)
22	Payroll – undeliverable W-2 withholding statements (all copies)		-	-	4	After the date due of such tax for the return period (26 CFR 31.6001-1)
23	Payroll - garnishment orders		-	-	3	After expired or canceled
						Supersedes Schedule Dated: August 8, 2000

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3****ALL ARIZONA COUNTIES**

Function:

Finance/Accounting

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
24	Budget files including approved and appropriated budgets, fund requests and supporting documents (office copies)		-	-	3	After fiscal year prepared (Official copy at Clerk of the Board's Office.)
25	Financial detail and summary reports including computer generated weekly, monthly, quarterly reports, etc.		-	-	1	After fiscal year prepared (may be on paper, microfiche or computer media)
26	Annual financial detail and summary reports		-	-	3	After fiscal year prepared
						Supersedes Schedule Dated: August 8, 2000

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 2
ALL ARIZONA COUNTIES

Function:

Health Services

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	<i>Also see "Environmental Quality / Health", pp. 25-27.</i>					
1	Indigent health care administrative records including hearing files		-	-	5	After fiscal year prepared
2	Indigent health care client records including hospital notification records, long term care files and AHCCCS eligibility files		-	-	5	After fiscal year prepared (AAC R9-22-313)
3	Nursing services – annual reports		-	-	10	After fiscal year of report
4	Nursing services – appointment books; logs		-	-	1	After calendar year created
5	Nursing services – family / individual health records excluding immunization records:					
	a. Patients over 18 years old		-	-	10	After date of last contact
	b. Patients under 18 years old		-	-	3	After patient reaches age 18, but not less than 7 years after last contact (A.R.S. §12-2297)
6	Nursing services – immunization records including informed consent documents:					
	a. Patients over 18 years old		-	-	10	After date of last contact
	b. Patients under 18 years old		-	-	3	After patient reaches age 18, but not less than 7 years after last contact (A.R.S. §12-2297)
7	Nursing services – family planning records:					
	a. Patients over 18 years old		-	-	7	After date of last contact
	b. Patients under 18 years old		-	-	3	After patient reaches age 18, but not less than 7 years after last contact (A.R.S. §12-2297)
Supersedes Schedule Dated: March 11, 1999						

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 2 of 2
ALL ARIZONA COUNTIES

Function:

Health Services

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
8	Nursing services – medical orders and protocols: a. Official record copy b. All other copies		- -	- -	21 -	After revision or cancellation After revision or cancellation
9	Nursing services – pathology reports		-	-	2	After calendar year prepared
10	Nursing services – individual patient names kept in an index or master file (paper or electronic record)		-	-	10	After last patient contact
11	Nursing services – radiology records: a. X-rays b. X-ray reports (non-record copies)		- -	- -	5 -	After calendar year of last patient contact After film disposed of (Record copy filed in family / individual health records.)
12	Nutrition – patient records (WIC)		-	-	3	After date of final expenditure report (7 CFR 246.15)
13	Nutrition – vendor records (WIC)		-	-	3	After date of final expenditure report (7 CFR 246.15)
14	Nutrition – financial operation reports (WIC)		-	-	3	After date of final expenditure report (7 CFR 246.15)
15	Nutrition – education records (WIC)		-	-	3	After date of final expenditure report (7 CFR 246.15)
16	Nutrition – hearing files (WIC)		-	-	3	After date of final expenditure report (7 CFR 246.15)
17	Nutrition – other records relating to WIC <i>WIC = Food program for Women, Infants and Children; U.S. Dept. of Agriculture</i>		-	-	3	After date of final expenditure report (7 CFR 246.15) Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 5
ALL ARIZONA COUNTIES

 Function:
Housing

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
						FFY = Federal Fiscal Year
1	Audit reports and work papers		-	-	3	After reports are issued (24 CFR 44.10)
2	Records referring to HUD grants including financial records, programmatic records, supporting documents, statistical records, real property and equipment records		-	-	3	After final payment or until final resolution of all issues regarding the grant, whichever is greater (7 CFR 3016.42; 24 CFR 85.42)
3	Home Investment Partnerships Program records including program requirement records; project records; community housing dev. organization set-aside records; equal opportunity and fair housing records; affirmative marketing procedures and requirements records; environmental compliance review records; displacement, relocation and real property acquisition records; labor requirements; lead-based paint records; certifications; program administrative records		-	-	3	After final payment or until final resolution of all issues regarding the grant, whichever is greater (24 CFR 92.508)
	a. Records referring to periods of affordability		-	-	3	After required period of affordability (24 CFR 92.508)
	b. Records covering displacement and acquisition		-	-	3	After the date by which all persons displaced from property, and all persons whose property is acquired for the project having received final payment (24 CFR 92.508)
4	Residential Homeownership Program records necessary to calculate payments due to commissioner (24 CFR 248.173)		-	-	3	After date of payment (no specific requirement in CFR)
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 5****ALL ARIZONA COUNTIES**Function:
Housing

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
5	Section 312 rehabilitation loan program:					
	a. Records to demonstrate compliance with requirements of relocation displacement regulations (24 CFR 510.52)		-	-	3	After the date by which all persons displaced from the property have received final payment (no specific requirement in CFR)
	b. Lead based inspection and/or test reports		-	-	3	After date of report (24 CFR 510.410)
6	Community development block grants:					
	a. Local determination of eligibility (24 CFR 570.200)		-	-	3	After final payment of grant (No specific requirement in CFR)
	b. Slum and blight area records including boundaries and conditions (24 CFR 570.208)		-	-	3	After final payment on grant (No specific requirement in CFR)
	c. Displacement, relocation, acquisition and replacement of housing records (24.crf 570.488; 24 CFR 570.606)		-	-	3	After the day by which all persons displaced from the property, and all persons whose property is acquired for the project have received final payment (No specific requirement in CFR)
	d. Records describing each activity assisted with CDBG funds including the location; the amount of CDBG funds budgeted, obliged and expended for each activity; and records demonstrating that activities meet national objectives of benefiting low and moderate income persons.		-	-	3	After final payment on grant (No specific requirement in CFR)
	e. Lead-based inspection and/or test reports		-	-	3	After date of report (24 CFR 570.608)
7	Urban homesteading:					
	a. Financial records; property disposition documents; supporting documents; statistical records; all other records pertinent to the program		-	-	-	After fee sample title has been conveyed to all homesteaders – generally a 5 year period (24 CFR 590.25)

**Supersedes Schedule Dated:
March 11, 1999**

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 5****ALL ARIZONA COUNTIES**Function:
Housing

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	b. Race, ethnicity, gender and handicap records of program beneficiaries		-	-	5	After calendar year created (no specific requirement in CFR)
8	Advances for public works planning records including accounting records for plan preparation (24 CFR 598.13)		-	-	3	After completion of the plan (no specific requirement in CFR)
9	Section 8 housing assistance payments program for new construction - race, ethnicity, gender and handicap records of program beneficiaries		-	-	3	After FFY created (24 CFR 880.603)
10	Section 8 housing assistance payments program for substantial rehabilitation - race, ethnicity, gender and handicap records of program beneficiaries		-	-	3	After FFY created (24 CFR 881.602; 24 CFR 880.603; 24 CFR 968.108)
11	Section 8 housing assistance payments program for existing housing: a. certifications and relevant documentation rent reasonableness limitation		-	-	3	After FFY created (24 CFR 882.106)
	b. Lead-based paint inspection and/or test report		-	-	3	After date of report (24 CFR 882.109; 24CFR 882.405; 24 CFR 511.15)
	c. Complaints by families concerning compliance by owner with housing quality standards		-	-	3	After FFY received (24 CFR 882.211)
12	Housing assistance payments program applicant, participant and family records which provide HUD with racial, gender, ethnic and handicap data including application, notices to the applicant, applicant responses, records of informal hearings, and a statement of final disposition in cases or ineligible determinations		-	-	3	After FFY created or received (24 CFR 882.209; 24 CFR 884.214; 24 CFR 886.321; 24 CFR 968.108)
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 4 of 5****ALL ARIZONA COUNTIES**Function:
Housing

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
13	Housing assistance payments program records that document the basis on which tenant allowances for utilities and scheduled surcharges and revisions are established and revised (24 CFR 965.473)		-	-	3	After FFY created or received (no specific requirement in CFR)
14	Housing assistance payment program records on which units, common areas, exteriors, and child care facilities have been tested for lead-based paint; test results by location (24 CFR 965.709)		-	-	3	After FFY created or received (no specific requirement in CFR)
15	Housing voucher program:					
	a. Applications, notices to applicants and applicant responses retained in order to provide HUD with racial, ethnic, gender and handicap status		-	-	5	After FFY created (24 CFR 887.155)
	b. Request for lease approval; inspection reports; notice of lease approval/disapproval; executed lease; and executed housing voucher contract file (24 CFR 887.207)		-	-	3	After FFY created (no specific requirement in CFR)
	c. Separate accounts and records of management function activities performed to meet contractual obligations when owner functions are contracted out (24 CFR 887.305)		-	-	3	After FFY created or received (no specific requirement in CFR)
16	Fraud recoveries program judgement records including amounts recovered, nature of judgement, amount of legal fees and expenses incurred (24 CFR 892.204)		-	-	3	After date of judgement (no specific requirements in CFR)
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 5 of 5****ALL ARIZONA COUNTIES**

Function:

Housing

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
17	Section 5(h) homeownership program records including sales and financial records for all activities incident to the implementation of the plan (24 CFR 906.17; 24 CFR 905.1017)		-	-	3	After FFY created or received (no specific requirements in CFR)
18	Drug elimination program resident comments on grant applications		-	-	3	After final voucher payment on grant (24 CFR 961.18)
19	Contracts and detailed procurement records with resident-owned businesses (24 CFR 963.12)		-	-	3	After FFY of procurement (no specific requirement in CFR)
20	Comprehensive grant program (PHAs that operate at 250 or more units.): a. Records by unit of work carried out to permit HUD to review the extent to which Turnkey III units have been substantially rehabilitated (24 CFR 968.310; 24 CFR 905.666)		-	-	3	After FFY created or received (no specific requirement in CFR)
	b. Files and records of planning meetings including minutes and resident surveys		-	-	3	After FFY created or received (no specific requirement in CFR)
	c. Source documents of physical and management assessment identifying all work necessary to bring each development up to the modernization and energy standards; to comply with lead-based testing and abatement requirements; and to comply with other program requirements (24 CFR 968.320; 24 CFR 905.672)		-	-	3	After FFY created or received (no specific requirement in CFR)
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 1
ALL ARIZONA COUNTIES

Function:

Internal Audit

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods..

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Audit reports		-	-	5	After fiscal year of report
2	Audit work papers		-	-	3	After fiscal year of final audit
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 3**

ALL ARIZONA COUNTIES				Function: Justice Courts		
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
1	<p>NOTE: This schedule has been copied into ASLAPR format, but retention periods are per Supreme Court administrative order 99-80.</p> <p>Court files:</p> <p>a. Civil traffic cases</p> <p>b. misdemeanors and criminal traffic</p> <p> i. Petty offenses</p> <p>c. Parking violations</p> <p>d. Orders of protection and injunctions against harassment</p> <p>e. Recordings of court proceedings, unless otherwise covered by this schedule</p> <p>f. Preliminary hearing cases:</p> <p> i. Misdemeanor plea is accepted</p> <p> II. Felony</p> <p>g. All other civil cases including small claims, forcible detainers, local ordinances and other civil judgements involving monetary awards</p> <p> i. Civil traffic defaults</p> <p> II. Other civil cases including dismissed cases.</p> <p>h. Non-case specific documents, ie. Initial appearances, scratches, etc.</p>		-	-	1	After final adjudication and satisfaction of judgement
			-	-	5	After final adjudication and completion of sentence
			-	-	1	After final adjudication and completion of sentence
			-	-	6mo	After final adjudication and payment of any fines
			-	-	5	After dismissal or expiration of the order
			-	-	6mo	After satisfying Rule 2B Superior Court Rules of Appellate Procedure Criminal
			-	-	5	After final adjudication and completion of sentence
			-	-	6mo	After discharged or transmitted to Superior Court.
			-	-	5	After final judgement and satisfaction of judgement
			-	-	5	After final judgement
			-	-	1	After final judgement and satisfaction of judgement
			-	-	6mo	After created
2	<p>Administrative records of the court:</p> <p>a. Docket records, clerk indexes, register of actions, case file indexes or other chronological listings of cases events and comments</p> <p> i. Civil traffic</p>		-	-	1	After default or final satisfaction of judgement and sentence
Approved by: Supreme Court Admin. Order 99-80 Director, Arizona State Library, Archives and Public Records						Approval Date: Dec. 29, 1999

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 3**

ALL ARIZONA COUNTIES			Function: Justice Courts			
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	ii. Civil (non-traffic)		-	-	5	After final satisfaction of judgement (Renewal of judgement for individual cases requires continued maintenance of supporting docket information.)
	III. Civil (non-traffic)		-	-	5	After default or final satisfaction of sentence
	IV. Parking violations		-	-	1	After final adjudication and payment of fine
	b. Scheduling calendars and working files		-	-		After reference value served
	c. Physical evidence records (logs)		-	-	1	After disposal of evidence
	d. Probation reports (if separate from case file), and other non-case specific documents, i.e., initial appearances, scratches, notices of appearance, booking sheets, etc.		-	-	30 day s	After latest report received or sentence satisfied
	e. Employee listings, time sheets and payroll sheets (Non-records. Official copy at city/county finance)		-	-	-	After reference value served
	f. COJET records		-	-	-	As required by COJET. Reference 1999 Administrative Guidelines for Judicial Education in Arizona – Reporting Requirements.
	g. General Correspondence		-	-	3	Or after reference value served
	h. Jury files:					Lists generated in accordance with Arizona Revised Statutes, Title 21, Chapters 3 and 4
	i. Master jury lists		-	-	-	After reference value served. Ref. A.R.S. §21-301
	ii. Master jury file		-	-	90 day s	Ref. A.R.S. §21-312
	iii. Juror questionnaires		-	-	90 day s	Ref. A.R.S. §21-314(B)
	iv. Other juror lists (panels, pools and other records:					
	a. Records containing financial information		-	-	3	After fiscal year prepared
	b. Non-financial records		-	-	1	After fiscal year prepared
	i. Statistical reports (to Arizona Supreme Court)		-	-	1	After fiscal year prepared
Approved by: Supreme Court Admin. Order 99-80 Director, Arizona State Library, Archives and Public Records						Approval Date: Dec. 29, 1999

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3**

ALL ARIZONA COUNTIES			Function: Justice Courts			
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
	j. Court financial records:					
	i. Bank statements, reconciliations, canceled checks, check stubs		-	-	3	After fiscal year created or received
	ii. Cash receipts, cash books and other revenue records		-	-	3	After fiscal year created or received
	iii. Financial/budgetary reports		-	-	3	After fiscal year created or received
	iv. Payment records		-	-	3	After fiscal year created or received
<div> <div>Approved by:</div> <div>Supreme Court Admin. Order 99-80</div> <div>Director, Arizona State Library, Archives and Public Records</div> </div> <div> <div>Approval Date:</div> <div>Dec. 29, 1999</div> </div>						

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COUNTIES**Function:
Library

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Catalog of collection holdings including shelf lists (paper and/or electronic on-line catalog)		-	-	-	Maintain current. Destroy or purge when referred item is removed from collection.
2	Agreements; contracts; leases (office copy)		-	-	-	Dispose of after expired, terminated or revoked. Official copy on file with Municipal Clerk.
3	Borrowers/cardholders registration information (paper and/or electronic form)		-	-	-	Maintain current. Destroy after expired, updated or superseded.
4	Statistical records: a. Annual b. Other (monthly, weekly, etc.)		- -	- -	10 -	After calendar year compiled Dispose of after cumulative update.
5	Grant files: a. Federal funds b. State funds		- -	- -	3 3	After fiscal year of final expenditure report, or after resolution of all issues (45 CFR Part 1183) After fiscal year of final expenditure
6	Circulation records		-	-	1	After material returned to library (Confidential pursuant to A.R.S. §41-1354)
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 1
ALL ARIZONA COUNTIES

Function:

Medical Examiner

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Case files including medical examiners' reports, x-rays, toxicology reports, etc. a. Homicides b. Suicides c. Accidents / natural deaths d. Natural deaths – no autopsy e. Landmark cases (unique because of circumstances of death, notoriety of the individual or very high level of press visibility)		-	-	30	After autopsy completed
			-	-	20	After examination / autopsy completed
			-	-	10	After examination / autopsy completed
			-	-	5	After examination completed
			-	-	50	After examination / autopsy completed. Transfer to State Archives.
2	Cremation certificates (non-record copies)		-	-	1	After calendar year prepared
3	Cremation logs		-	-	1	After calendar year prepared
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 1
ALL ARIZONA COUNTIES

Function:

Parks and Recreation

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Park development records including plans and specifications		-	-	-	Retain until park is abandoned or otherwise disposed of
2	Minutes of Parks Board (advisory)		-	-	3	After calendar year created
3	Maintenance records		-	-	3	After fiscal year maintenance performed
4	Grants (federal funds):					
	a. Acquisition, development and construction		-	-	3*	After abandonment or disposal of facility
	b. Other		-	-	3*	After fiscal year of final payment * Refer to specific requirements of funding agency.
5	Recreation/activities files		-	-	3	After fiscal year of the activity
6	Fee collection records		-	-	3	After fiscal year created
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 2
ALL ARIZONA COUNTIES

Function:

Personnel / Human Resources

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Employee personnel files: a. Official files including evaluations, discipline records, loyalty oaths, etc. b. Supervisor's work files		-	-	5 6mo	After calendar year of termination of service (29 CFR 1627.3) After termination
2	Employee personnel summary (paper and/or electronic form)		-	-	10	After calendar year of termination (There is no requirement to keep this record series.)
3	Statistical listings and reports		-	-	-	Dispose of after superseded
4	Position descriptions		-	-	3	After superseded or position abolished
5	Position classification/reclassification records		-	-	3	After classification request is acted on
6	Employee grievance files		-	-	3	After grievance action resolved
7	Employee training files including attendance lists, class outlines, etc.		-	-	3	After training is given (A record of class completion may be placed in the employee's personnel file)
8	Employee tuition refund program records		-	-	3	After fiscal year refund is issued
9	Occupational safety and health records including accident reports and annual summaries		-	-	5	After calendar year reported (29 CFR 1952.4)
10	Accident prevention programs including lists of first aid and CPR trained staff		-	-	1	After superseded
11	Employee medical and exposure records including lists of hazardous materials exposed to; pre-employment physicals; etc.		-	-	30	After termination of employment (29 CFR 1910.20) these records must be retained separately from the employee personnel file.
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 2****ALL ARIZONA COUNTIES**

Function:

Personnel / Human Resources

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
12	Group insurance records (Human Resources/Personnel copy including copy of contracts with carriers)		-	-	2	After termination of contract (Official copy of contracts at the Municipal Clerk's office)
13	Reduction in force records including computation documents and recap. Summaries		-	-	5	After RIF (lay-off) is completed
14	EEO-4 including background information		-	-	2	After prepared (29 CFR 1602.30)
15	Hiring records including application, selection, promotion and interview records		-	-	2	After calendar year received or prepared (29 CFR 1602.31)
16	Merit/civil service system board minutes (Personnel/Human Resources copy)		-	-	3	After calendar year prepared
17	Completed form I-9 (Proof of legal residency in U.S.A.)		-	-	1	After employee terminates employment, but not less than 3 years after date of hire (8 CFR 274a.2)
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

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Function:

Planning and Zoning

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Zoning case files NOTE: Some of these files may involve high profile or otherwise noteworthy projects that may have long term or historical value. Contact History and Archives Division if you wish a professional archival appraisal of any of these files.		-	-	20	After calendar year file closes
2	Incomplete zoning cases (dropped or withdrawn before decision is rendered)		-	-	2	After calendar year opened
3	Comprehensive plans including land use, neighborhoods, areas, etc.		-	-	Per	Preserve pursuant to A.R.S. §39-101
4	Background materials and preliminary drafts of plans		-	-	1	After plan finalized
5	Minutes of public meetings of boards or commissions (office copy)		-	-	3	After calendar year of meeting
6	Planning and zoning reports		-	-	3	After calendar year published
7	Violation case files		-	-	1	After calendar year case is closed
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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Function:

Public Defender

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Felony cases		-	-	10	After final disposition of case
2	Misdemeanor cases		-	-	5	After final disposition of case
3	Juvenile cases		-	-	5	After final disposition of case
4	Juvenile cases prosecuted under Sexual Predator Act (A.R.S. §36-3701 et seq.)		-	-	10	After final disposition of case
5	Extradition files		-	-	4	After date of closing
6	Mental competency cases		-	-	4	After final disposition of case
7	Appeals		-	-	10	After final disposition of case
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COUNTIES**

Function:

Public Fiduciary

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Administrative cases (probate cases with estates under \$10,000)		-	-	7	After case (account) closed
2	Client records (e.g., guardianships / conservatorships, probate cases and trust cases):					
	a. Case histories including consultation notes, financial ledgers and court reports		-	-	7	After case (account) closed
	b. Supporting financial documentation including receipts, statements, vouchers, banking records and similar documents		-	-	3	After fiscal year prepared or received
	c. Tax returns		-	-	7	After filed
3	Mental health cases		-	-	7	After case closed
4	Referrals (cases investigated but referred elsewhere)		-	-	7	After case referred
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COUNTIES**

Function:

Purchasing / Procurement

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Contract files including RFQ / RFP, recap sheets, bonds, scores, award, etc.		-	-	6	After fiscal year of purchase or contract expiration
2	Unsuccessful bids		-	-	3	After fiscal year received
3	Late received bids including modifications, withdrawals, etc.		-	-	1mo	After vendor notified (May be returned to vendor in lieu of destruction.)
4	Canceled solicitations		-	-	1	After fiscal year canceled
5	Vendor lists and files (paper or computer files)		-	-	-	Review, update and purge annually
6	Purchase order registers		-	-	3	After fiscal year prepared
7	Protests		-	-	5	After calendar year
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES

Function:

Public Works - Landfill

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	<i>For county water and sewer see Environmental Quality / Health</i> <i>For county highways & roads see Transportation / Highways</i>					
1	Landfill inspection records (incoming loads inspected for hazardous wastes or PCB wastes required pursuant to 40 CFR 258.20)		-	-	20*	After calendar year of inspection
2	Landfill restriction demonstration requirements retained pursuant to 40 CFR 258.29		-	-	20*	After calendar year created
3	Landfill training and notification procedures related to inspections for hazardous waste required pursuant to 40 CFR 258.29		-	-	20	After calendar year created
4	Landfill gas monitoring results and remediation plans required pursuant to 40 CFR 258.23		-	-	20*	After calendar year created
5	Landfill design documentation for placement of leachate or gas condensate required pursuant to 40 CFR 258.29		-	-	-	Retain for the life of the installation
6	Landfill demonstration, certification, finding, monitoring, testing or analytical data required by 40 CFR part 258 subpart E		-	-	20*	After calendar year created
7	Landfill closure and post closure care plans and any monitoring, testing or analytical data required pursuant to 40 CFR 258.60 and 40 CFR 258.61		-	-	20*	After calendar year created
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES

Function:

Public Works - Landfill

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)		REMARKS (Include start point of retention.)	
			Off.	R.C.		Total
8	Landfill cost estimates and financial assurance documentation required pursuant to 40 CFR Part 258 subpart G		-	-	20*	After calendar year created
9	Landfill records demonstrating compliance with small community exemption retained pursuant to 40 CFR 258.29		-	-	20*	After calendar year created
10	Landfill revenue records including fee receipts and use permit charges		-	-	3	After fiscal year created
<i>* There are no specific retention requirements from U.S. EPA on any of these records. Check with ASLAPR, Records Management Division and the Municipal Attorney prior to destruction.</i>						
Supersedes Schedule Dated: March 11, 1999						

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES

 Function:
Recorder

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	<i>For election records see Elections.</i>					
1	Recorded instruments including all recorded documents, maps and plats: a. Original instruments, maps and plats b. Microfilm (original silver halide master) c. Microfilm or electronic / digital image (office use copy)		-	-	-	May be destroyed after recorded on permanent quality medium and all other provisions of A.R.S. §11-479 are met. Retain in secure and separate location pursuant to A.R.S. §11-479. Retain in office. Produce new copies from original master microfilm as necessary.
2	Indices to recorded instruments, maps and plats		-	-	Perm	Create and retain pursuant to A.R.S. §§11-462 & 11-463
3	Index reports printed out from an index database		-	-	3	After date report is run
4	Blotters		-	-	Perm	Create and retain pursuant to A.R.S. §11-472
5	Fee collection records including receipts, deposits, journals, ledgers, etc.		-	-	3	After fiscal year created
6	Requests for information pursuant to UCC 3		-	-	6	After calendar year completed
7	Voter registration affidavits		-	-	6	After calendar year of registration (A.R.S. §16-162)
8	Cancellation of voter registration		-	-	6	After calendar year of cancellation (A.R.S. §§16-162 & 16-164)
9	Signature rosters		-	-	6	After date of election (A.R.S. §16-171)
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 2****ALL ARIZONA COUNTIES**Function:
Recorder

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
10	Official oaths pursuant to A.R.S. §38-233: a. County Recorder's oath b. Other elective county and elective precinct officers		-	-	-	Official copy filed at Clerk of the Board of Supervisor's office After term of office expires
11	General county register (required pursuant to A.R.S. §16-163)		-	-	Per m	Transfer a copy to the State Archives
12	Notary materials (log books, seals and other materials transferred by retiring notaries)		-	-	5	After received
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COUNTIES

Function:

School Superintendent

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Financial records for school districts NOT maintaining their own records: a. General ledger (annual summary report) b. General ledger not annual summary c. All other ledgers and journals d. Expense accounting records including purchasing documents, claims, vouchers, invoices, receiving reports, support docs., canceled warrants, etc.: 1) Capital expense exceeding \$5,000 for land, buildings and improvements; \$1,000 for vehicles, furniture and equipment 2) Other expenditures e. Payroll registers (gross & net produced monthly, quarterly or annually) f. Payroll – employee status change g. Employee time & leave records (official copy) h. Payroll deduction records i. Revenue records j. Banking records K. Teacher and administrator certification records (pursuant to A.R.S. §15-302) <i>For more detailed school district retention schedules see "Records Management Manual for Arizona School Districts" available from ASLAPR.</i>		-	-	Per m 10 3*	Preserve pursuant to A.R.S. §39-101 After fiscal year prepared After fiscal year prepared After fiscal year of disposal of asset After fiscal year created or received After fiscal year prepared (26 CFR 31.6001 et seq.) After fiscal year prepared After fiscal year prepared (29 CFR 516.2) After fiscal year prepared After fiscal year prepared After fiscal year prepared After termination of employment by district <i>* Pursuant to (GEPA) 230 USC §1232f</i>
2	School district advise of encumbrance (superintendent's copy)		-	-	1	After fiscal year received or prepared (original / official copy at school district) Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 3****ALL ARIZONA COUNTIES**

Function:

School Superintendent

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
3	School district annual financial reports (superintendent's copy)		-	-	1	After fiscal year received or prepared (original / official copy at school district)
4	School district audit reports		-	-	1	After fiscal year received
5	School district budget expense reports		-	-	3	After fiscal year prepared
6	School district budget, and expense journals including entries summarized, monthly reports, vouchers, etc.		-	-	2	After fiscal year prepared
7	Teacher certification reports (alpha lists and purge data from school districts)		-	-	1	After updated report received
8	Other reports from school districts including employees lacking certification, incorrect certification, substitute time errors, etc.		-	-	1	After updated report received
9	Federal project monitoring files (superintendent's copy)		-	-	1	After fiscal year prepared or received (official copy at school district)
10	Expense warrant registers		-	-	5	After fiscal year prepared
11	Paid / canceled warrant reports (superintendent's copy)		-	-	1	After fiscal year prepared or received (official copy at school district)
12	Other financial reports from school districts including payroll reports, reconciliations, edits, audits, etc.		-	-	1	After fiscal year prepared or received (official copy at school district)
13	Home schooling records		-	-	1	After student enrolls in public or private school, reaches age 16 or moves outside the county
14	Affidavits of intent received from students		-	-	1	After school year enrolled
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3****ALL ARIZONA COUNTIES**

Function:

School Superintendent

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
15	Student registers / census reports (accommodation schools only)		-	-	Per m	Preserve pursuant to A.R.S. §39-101
16	School district elections tally lists		-	-	5	After calendar year of election (A.R.S. §15-401)
17	Nominating petitions for school district office		-	-	2	After calendar year of election
18	Statements of contributions and expenditures from candidates for school district office		-	-	3	After calendar year of election
19	Certificates of election from elected members of school district governing board		-	-	5	After term of office completed
20	Official oaths of from elected members of school district governing board (A.R.S. §38-233)		-	-	5	After term of office completed
21	Official canvas of school district elections				6mo	After date of election. Permanent copy filed with Secretary of State pursuant to A.R.S. 16-146
22	Back-up files related to the conduct of school district elections		-	-	6mo	After date of election
23	Ballots and official returns from school district elections		-	-	6mo	After date of election
24	Signature rosters for school district elections		-	-	-	Transfer to Recorder pursuant to A.R.S. §16-170
25	Precinct registers and unused ballots from school district elections		-	-	6mo	After date of election
26	Pesticide application notifications (superintendent's copy)		-	-	1	After calendar year received

**Supersedes Schedule Dated:
March 11, 1999**

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001**February 2002**

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 3****ALL ARIZONA COUNTIES**Function:
Sheriff

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Crime reports and investigations:					
	a. Serious crimes as defined in A.R.S. §13-604; homicide; misuse of public moneys; felony falsification of public records		-	-	25	After calendar year of initial crime report; review for continued retention if case not closed
	b. All other class 2 through 6 felonies		-	-	8	After calendar year of initial crime report
	c. Misdemeanors (except DUI)		-	-	3	After calendar year of initial crime report
	d. Misdemeanor DUI		-	-	5	After calendar year of initial crime report
	e. Department reports		-	-	2	After calendar year prepared
	f. Petty offenses		-	-	2	After calendar year prepared
	g. Misc. closed cases (subject deceased, sentence served, etc.)		-	-	2	After case closed
2	Non-crime reports:					
	a. Abandoned vehicles		-	-	1	After calendar year prepared
	b. Incident reports (no investigation)		-	-	1	After calendar year prepared
	c. Pawn broker transaction records		-	-	3	After calendar year prepared
	d. Subpoena/summons log		-	-	3	After calendar year prepared
	e. Traffic accident reports – property damage or injury		-	-	3	After calendar year prepared
	f. Traffic accident reports – fatalities		-	-	10	After calendar year prepared
3	Logs (paper and or electronic)					
	a. Citation logs		-	-	2	After calendar year prepared
	b. Criminal history inquiry logs		-	-	1	After calendar year prepared
	c. Department report (DR) logs		-	-	2	After calendar year prepared
	d. MVD letter logs		-	-	1	After calendar year prepared
	e. Officer daily logs		-	-	6mo	After month prepared
	f. Patrol/duty logs		-	-	1	After month prepared
	g. Radio/communications logs		-	-	1	After month prepared
	h. Warrant logs		-	-	3	After last entry
	i. Jail logs		-	-	1	After calendar year prepared
4	Citations (police copy)		-	-	2	After calendar year prepared

**Supersedes Schedule Dated:
March 11, 1999**

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 3****ALL ARIZONA COUNTIES**Function:
Sheriff

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
5	Held property/evidence reports		-	-	-	File with department reports (DRs)
6	Missing person notices		-	-	-	After cancelled
7	Warrants		-	-	-	Return to court after cancellation (suggest periodic validation with ACJIS Division, DPS)
8	Enforcement equipment maintenance/ calibration records (radar/laser guns, breathalizers / intoxilizers, etc.)		-	-	1	After equipment disposed of
9	Vehicle maintenance records		-	-	1	After vehicle disposed of
10	Warnings (traffic violations, vehicle equipment repair orders)		-	-	1	After written
11	Master fingerprint files		-	-	-	Forward to ACJIS. Purge from local files after 25 years
12	Criminal history files		-	-	10	After last contact
13	Modus operandi files		-	-	-	Purge information from local files after 20 years
14	Intelligence files including records developed using BJA grants or subgrants		-	-	5	After information gathered (28 CFR 23.20)
15	Alarm reports including false alarms		-	-	1	After calendar year prepared
16	Duty rosters		-	-	1	After calendar year prepared
17	Internal affairs investigations		-	-	5	After employee termination or retirement
18	Juvenile referrals		-	-	-	Destroy after individual reaches age 18
Supersedes Schedule Dated: March 11, 1999						
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3****ALL ARIZONA COUNTIES**Function:
Sheriff

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
19	Prisoner files: a. Adult offenders		-	-	10	After last contact (May also be destroyed following notification of death.)
	b. Juvenile offenders		-	-	-	Destroy after individual reaches age 18
20	"911" automatic number identification records		-	-	2	After month created
21	"911" voice recordings		-	-	2mo	After tape recorded. (A.A.C. R2-1-408 requires specific info. For 31 days.)
22	Uniform crime reports (office copy, record copy submitted to DPS)		-	-	1	After calendar year created
23	Civil division banking records including canceled / voided checks, deposits, reconciliation statements, etc.		-	-	3	After fiscal year prepared
24	Civil division delinquent tax rolls		-	-	3	After calendar year issued
25	Civil division delinquent tax sale files		-	-	5	After calendar year of sale
26	Civil division other sale files		-	-	5	After calendar year of sale
27	Civil division replevin / attachment files		-	-	5	After case resolved
28	Civil division tax worksheets		-	-	2	After calendar year created
29	Civil division paid delinquent tax bills		-	-	1	After calendar year paid
						Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 5**

ALL ARIZONA COUNTIES			Function: Superior Court, Clerk of			
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
1	<p>Court files:</p> <p>a. Civil:</p> <p>Domestic relations cases including civil paternity, dissolutions, domestic custody, domestic relations, domestic violence, reciprocal divorce, support enforcement, and other unspecified domestic relations categories</p> <p>- Dismissed cases</p> <p>- All other domestic relation cases</p> <p>Mental Health</p> <p>Probate</p> <p>- Probate vouchers and receipts</p> <p>Water rights</p> <p>All other civil case types including administrative review, civil traffic or non-traffic appeal, contract, declaratory judgement, eminent domain, forcible detainer, foreign judgement, habeas corpus, harassment, malpractice, name change, quiet title, restoration of civil rights, seized vehicle, special action appeal, tort, transcript of judgement, or other unspecified non-domestic relations civil case categories.</p>					<p>After purging in accordance with administrative order. ARCP 79(g) allows destruction of original permanent records after purging and microfilming.</p> <p>Not authorized for purging. ARCP 79(g) allows the destruction of original permanent records after microfilming</p> <p>Not authorized for purging. ARCP 79(g) allows the destruction of original permanent records after microfilming.</p> <p>Not authorized for purging. ARCP 79(g) allows the destruction of original permanent records after microfilming</p> <p>Not authorized for purging. ARCP 79(g) allows the destruction of original permanent records after microfilming</p> <p>After fiscal year received, ARCP 79(g); Discard without microfilming.</p> <p>Not authorized for purging. ARCP 79(g) allows the destruction of original permanent records after microfilming</p> <p>After purging in accordance with administrative order. ARCP 79(g) allows destruction of original permanent records after purging and microfilming.</p>
Approved by: Supreme Court Rev. Admin. Order 91-13						Approval Date: May 6, 1991

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 5**

ALL ARIZONA COUNTIES			Function: Superior Court, Clerk of			
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
	b. Criminal: Dismissed and / or acquitted cases		-	-	Perm	After purging in accordance with Administrative order. AzRCrP 28.1 allows destruction of original permanent records after purging and microfilming.
	All other criminal cases		-	-	Perm	Not authorized for purging. AzRCrP 28.1 allows for destruction of original permanent records after microfilming.
	c. Juvenile (confidential, A.R.S. §§8-120 8-121) Appeals		-	-	-	After satisfaction of Rules of Procedure, Juvenile Appeals, Rule 28(4)h
	Copies for JP or Municipal Court files		-	-	-	After reference value served
	Delinquencies		-	-	-	After satisfaction of A.R.S. §8-247
	Juvenile traffic and other violations		-	-	-	After child reaches age 19 (not microfilmed)
	Other including abortion, adoptions, custody, dependencies, Indian, miscellaneous orders & documents, out-of-state custody registry, and other unspecified juvenile cases		-	-	Perm	Not authorized for purging. The juvenile court may order the destruction of these cases.
	d. Lower court appeals – civil or criminal					
	Remanded civil cases		-	-	-	After satisfaction of Appellate Rules of Superior Court – Civil 11(d)
	Remanded criminal cases		-	-	-	After satisfaction of appellate Rules of Superior Court – Criminal 12(b)
	Remanded case transfer index (and associated remand minute orders)		-	-	Perm	
	All other categories		-	-	-	Refer to Appellate Rules for disposition
	Photocopies of remanded cases		-	-	-	After reference value served
	e. Grand Jury records (confidential, A.R.S. §13-2812)		-	-	-	After court order for destruction or microfilm and destroy
	f. Miscellaneous filings					
	Administrative orders and other documents issued by the court		-	-	Perm	Microfilm and destroy original files
	Habeas Corpus		-	-	Perm	Microfilm and destroy original
	Landmark and historically significant cases (All case types)		-	-	Perm	Retain case file intact and microfilm in accordance with Administrative Order
	“Sealed by order of the court” records		-	-	-	Purge and/ or microfilm in accordance with Administrative Order after satisfying ARCP 79(g) or AzRCrP 28.1. Sealed until opened by the court.
Approved by: Supreme Court Rev. Admin. Order 91-13						Approval Date: May 6, 1991

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 5**

ALL ARIZONA COUNTIES				Function: Superior Court, Clerk of		
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
	Special warrants					
	- Confidential wiretaps & pen registers		-	-	10	After filing. Confidential, A.R.S. §§13-3011 & 13-2812
2	- Other (search warrants, trap and trace, handwriting exemplaries)		-	-	10	After filing. See also A.R.S. §13-3918
	Court reporters' notes:					
	a. Criminal		-	-	Perm	After prepared [AzRCrP, Rule 28.1(c)]
	b. Grand Jury (confidential A.R.S. §13-2812)		-	-	Perm	
	c. Juvenile (confidential, A.R.S. §18-120)		-	-	10	After prepared
3	d. Non-criminal		-	-	10	After prepared. ARCP 43(k) or Local Rule, whichever retention period is shorter.
	e. Writs of Habeas Corpus		-	-	Perm	AzRCrP 28.1(d)
	Exhibits:					
	a. Civil including domestic relations, probate, mental health, arbitration and other civil case types					
	- With orders disposition		-	-	-	After satisfaction of court order
4	- Without ordered disposition		-	-	60 days	After mailing notice to responsible party(ies) to claim evidence. (Case must be 90 days post-adjudication and not on appeal.)
	b. Criminal					
	- With ordered disposition		-	-	-	After satisfaction of court order
	- Without ordered disposition		-	-	-	After satisfying AzRCrP 28.1
	Records created or received by clerk's office					
	- Bail bondsmen affidavits		-	-	3	After termination of privileges
	- Dockets, indices & computerized records (to satisfy ARCP Rule 79(a) & (f))		-	-	-	After reference value served (Indices are permanent)
	- Correspondence concerning copies of records and information		-	-	-	After fiscal year prepared or received
	- Criminal or civil cash bonds		-	-	3	After exonerated
	- Marriage affidavits		-	-	Perm	Destroy after microfilming
	- Marriage licenses		-	-	Perm	Destroy or mail to couple after microfilming
Approved by: Supreme Court Rev. Admin. Order 91-13						Approval Date: May 6, 1991

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 4 of 5**

ALL ARIZONA COUNTIES				Function: Superior Court, Clerk of		
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
5	- Matters to be recorded (ARCP 79(d))		-	-	-	After reference value served
	- Notary affidavit applications and bond		-	-	3	After fiscal year expired
	- Powers of attorney to write bonds		-	-	3	After fiscal year expired
	- Process server applications		-	-	3	After fiscal year expired
	- Public officials financial disclosure statements		-	-	3	After term of office has ended
	- Wills filed in accordance with A.R.S. §14-2901, repealed 1984					
	a) Wills requested by interested parties		-	-	-	After satisfaction of A.R.S. §14-2902
	b) All other wills		-	-	Perm	Confidential per A.R.S. §14-2901
	Court financial records (original and electronic)					
	- Banking records – all		-	-	3	After fiscal year prepared or received
	- Cash books and supporting records for non-bond accounts including receipts and distribution records		-	-	3	After fiscal year prepared or received
	- Cash books & receipts for bond trust accounts		-	-	3	After fiscal year prepared or received
	- Child support records		-	-	5	After fiscal year of payment and satisfaction of arrearages
	- Child support enforcement including IV-D cases					
	a) Computer program conversion data		-	-	5	After fiscal year conversion of hardware and software completed (45 CFR 74.21
	b) Individual computerized files		-	-	5	After fiscal year of payment and satisfaction of arrearages (45 CFR 74.20, 45 CFR 74.21, 45 CFR 74.22)
	- Court payment orders (visiting judges, court reporters, law library, attorney fees, etc.)		-	-	3	After fiscal year paid
	- Expense accounting records		-	-	3	After fiscal year paid
	- Financial summary reports					
	a) Budget – operational		-	-	3	After fiscal year prepared
	b) Monthly budget reports		-	-	3	After fiscal year prepared
	c) Quarterly or annual reports		-	-	5	After fiscal year prepared. Evaluate for further retention.
	d) Other financial reports		-	-	3	After fiscal year prepared
	- Journal entries for restitutions, fines and reimbursements		-	-	3	After fiscal year of payment or satisfaction
	- Juror vouchers		-	-	3	After fiscal year prepared
Approved by: Supreme Court Rev. Admin. Order 91-13						Approval Date: May 6, 1991

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 5 of 5**

ALL ARIZONA COUNTIES				Function: Superior Court, Clerk of		
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
6	Court administration - Calendars - Records of visiting judges - Court visitor files - Former chief presiding judge business papers		-	-	-	After reference value served
			-	-	3	After fiscal year prepared
			-	-	10	After prepared
			-	-	-	After satisfaction of term. Arrange for transfer to State Archives
7	Administrative records - General correspondence - Employee time sheets or payroll sheets (official copies at county finance) Statistical reports		-	-	2	After prepared or received
			-	-	1	After prepared
			-	-	5	After prepared. Evaluate for further retention.
Approved by: Supreme Court Rev. Admin. Order 91-13						Approval Date: May 6, 1991

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 1
ALL ARIZONA COUNTIES

Function:

Transportation / Highways

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Highway / road project construction records: a. Project construction files b. "As-built" plans c. Extra copies of construction records including field office copies and work-site copies		- - -	- - -	3 - 1	After completion and final payment Retain until abandoned or transferred to other jurisdiction. Recommend microfilm for security. After completion of construction
2	Highway / road maintenance records a. Routine maintenance of street and roadside areas b. Major maintenance and improvement projects		- -	- -	3 -	After fiscal year maintenance performed Treat as construction project records (See item 1)
3	Encroachment and road cut permits		-	-	3	After permit terminates or encroachment is abandoned
4	Survey notes and records		-	-	-	Retain until surveyed area is abandoned or transferred to another Jurisdiction.
5	Maps including aerials, mosaics, negatives, contour, etc.		-	-	-	Retain until mapped area is abandoned or transferred to another jurisdiction
6	Contracts and intergovernmental agreements (IGAs) a. Official copy b. Office (extra non-record) copies		- -	- -	- 1	Transfer to Clerk of the Board After expired, cancelled or revoked
7	Right of way files		-	-	-	Retain until land is abandoned or transferred. Transfer official copy of deed and title insurance to the municipal clerk.
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 1 of 3
ALL ARIZONA COUNTIES

 Function:
Treasurer

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Annual tax collection report		-	-	3	After fiscal year prepared
2	Annual report to the State Treasurer		-	-	Perm	Preserve pursuant to A.R.S §39-101
3	Bank contracts		-	-	6	After expiration or cancellation
4	Bank records including statements, reconciliations, deposits, canceled checks, listings, etc.		-	-	3	After fiscal year prepared or received
5	Bankruptcy records		-	-	3	After released
6	Bond redemption records including bond registers, interest or coupon payment records, bond ledgers, interest checks, etc.		-	-	Perm	Preserve pursuant to A.R.S §39-101
7	Bonds and coupons		-	-	1mo	After paid. Transfer to issuer of bonds.
8	Cashier's daily reconciliations		-	-	3	After fiscal year prepared
9	Collateral records		-	-	3	After fiscal year prepared or received
10	County reports including non-record copies of monthly summaries of fees collected by other county agencies		-	-	2	After fiscal year received
11	Disbursement reports with supporting docs: a. Fixed assets b. Other		- -	- -	- 3	Dispose of after disposal of asset After fiscal year prepared
12	Funds accounting records: a. General ledgers b. Inter-fund transactions c. Ledgers and journals		- - -	- - -	3 3 3	After fiscal year prepared (data fully summarized in Treasurer's Annual Reports) After fiscal year prepared After fiscal year prepared Supersedes Schedule Dated: March 11, 1999

Approved by:

X GladysAnn Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 5, 2001
February 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 3****ALL ARIZONA COUNTIES**Function:
Treasurer

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
13	Investment records including ledgers, bid sheets, maturity date reports, advise or purchase, advise of redemption, etc.		-	-	3	After fiscal year prepared or received
14	Posted annual tax roll		-	-	Perm	Preserve pursuant to A.R.S §39-101
15	Earned interest distribution reports		-	-	3	After fiscal year prepared
16	Warrant registers (registered and other)		-	-	3	After fiscal year prepared
17	Tax collection and processing records: a. Assessment and tax roll assessment resolutions b. Certificates of clearance c. Delinquent tax lists d. Tax distribution reports including daily, weekly and monthly reports		-	-	Perm 6mo 3	Preserve pursuant to A.R.S §39-101 Preserve pursuant to A.R.S §39-101 After superseded by updated list After fiscal year prepared
18	Taxes receivable ledger		-	-	-	Dispose of after cleared and posted.
19	Tax redemption certificates (posted to tax lien sales record)		-	-	3	After fiscal year prepared
20	Cash Journals		-	-	3	After fiscal year prepared
21	Daily cash balance		-	-	3	After fiscal year prepared
22	Activity and transmittal reports		-	-	3	After fiscal year
23	Receipts and distributions including checks, deposits, fee slips, wire transfers, over payment receipts, under payment receipts, transfer documents, etc.		-	-	3	After fiscal year prepared
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 3 of 3
ALL ARIZONA COUNTIES

 Function:
Treasurer

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
24	Tax lien sales records from administrative and judicial foreclosures including affidavits of publication, certified mail receipts, deed applications, certificates of purchase, property posting records, etc.		-	-	5	After finalized. Record with County Recorder. <i>(Retain permanently if not recorded.)</i>
25	Warrants		-	-	-	Forward to Board of Supervisors after monthly balance completed
						Supersedes Schedule Dated: March 11, 1999
Approved by: X GladysAnn Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 5, 2001

Chapter 7- Historical County Records

NOTE: This chapter was prepared by archivists from the Arizona State History and Archives Division

A MOST VALUABLE RESOURCE

The records maintained by local governments are among the most valuable resources in their care. They are essential for the conduct of ongoing operations and the official documentation of legally binding decisions and actions of the government. They allow the public to understand civic issues. Records are the community's memory.

Records are preserved because:

- Officials use them to control and monitor government operations
- They document the conduct of public business
- Records ensure and measure government accountability
- Many government records contain information that is used by researchers from within and from outside government
- Historians and other researchers use selected government records for information on individuals, groups and the community, on the development of the government and its operations and on the life of the community itself

Everyday pressures and duties often leave officials little time for attention to records issues. To help, the Arizona State Archives encourages partnerships with local government offices by providing assistance to them.

- It helps agencies determine if they hold permanent records
- It consults on permanent records storage
- It reduces storage space required by the county by transferring permanent records to the State Archives;
- It reduces demands on your staffs' time after records transfers because the State Archives staff answers the constituents' questions
- It makes records available to the agency within 24-hours
- It stores records in secure areas and monitors their use
- It provides preservation services for permanent records

Permanent Records:

The State Archives has identified county records on these schedules which have **historical value**. These records are permanent and should not be destroyed. For convenience, they are listed below, but other records normally considered non-permanent may also have historical value.

These include:

1. Board Minutes of boards, commissions, and committees established by statute, resolution,

proclamation or ordinance. (Including Board of Supervisors minutes for Counties)

2. Council Minutes (Incorporated Cities and Towns)

3. Original or "official copies" of formal policy directives.

4. Original copy of organizational documentation including charts.

5. Records documenting a historic or "landmark event."

Those record series are identified in the schedule with this statement in the remarks section: "Some items within this record series, because of age or their link to high profile issues, should be retained permanently. Consult the State Archives for further information."

These records cannot be given to local historical societies, museums or universities. For assistance or help with questions, write, call or e-mail:

History and Archives Division Arizona State Library, Archives and Public Records

1700 W. Washington, Suite 442

Phoenix, AZ 85007

Phone (602) 542-4159

Fax (602) 542-4402.

Internet address: archives@dlapr.lib.az.us

ARIZONA COUNTY RECORDS WHICH ARE PERMANENT

This is a brief listing of historical records.

All Agency/Dept. Management:

Agency directives/policies (Official document only)

Assessor:

- Assessment rolls
- Duplicate assessment rolls
- Personal property assessment rolls
- Tax rolls
- Unsecured property tax rolls

Board of Supervisors, Clerk of:

- Correspondence
- Irrigation and water district records
- Minutes
- Old age pension applications
- WPA materials

Building Safety/Permits:

- Register of building permits

Clerk of the Superior Court:

- Calendars and dockets

- Civil Cases prior to 1940
- Criminal Cases prior to 1940
- Divorces
- Judgments
- Marriage licenses and affidavits
- Minutes, civil, criminal and probate
- Naturalizations
- Orders
- Probate
- Registers of action

County Attorney:

- Selected case files

Elections:

- Great Registers and Grand Registers

Finance:

General ledger or annual financial statement

Health Services:

- County hospital patient files, through 1947
- Patient registers

Justice Courts:

- Coroners' inquests, through 1912
- Dockets, through 1912

Medical Examiner:

- Coroners' inquests, after 1912

Planning and Zoning:

Comprehensive plans

School Superintendent:

- Annual reports
- Census Marshal reports and census
- Declarations of district boundaries
- School Trustees minutes
- Teacher certificate registers
- Teachers registers

Sheriff:

- Registers of Action civil, through 1912
- Registers of Action criminal, through present
- Record of U.S. Prisoners
- Prison commitment registers
- License registers

Treasurer:

- Assessment Rolls
- Claims
- Delinquent tax lists
- Per capita road tax records
- Posted tax roll
- Poll tax licenses and taxes collected
- Tax collectors registers
- School tax lists
- Registers of tax exemptions

A bibliography of published materials which are helpful to officials with records responsibilities is also presented here.

BIBLIOGRAPHY FOR LOCAL GOVERNMENT RECORDS

Dearstyne, Bruce W., The Management of Local Government Records; A guide for Local Officials. Nashville: American Association for State and Local History, 1988. \$14.35.

Haller, Stephen E., "Managing Records on Limited Resources; A Guide for Local Governments," Local Government Records Technical Publication Series, No. 2. Albany: National Association of Government Archives and Records Administrators, the International Institute of County Clerks and the National Association of Counties, November 1991. \$3.00 for single copies or \$10 for full set.

Hollings, Marie Ferrara, "Should Local Governments Microfilm Their Records?," NICLOG Technical Leaflet Series, #103. Nashville: American Association for State and Local History, 1989. \$3.00.

Johnson, A.K., Jr., "A Guide for the Selection and Development of Local Government Records Storage Facilities," Local Government Records Technical Publication Series, No. 1. Albany: National Association of Government Archives and Records Administrators, the International Institute of County Clerks and the National Association of Counties, November 1989. \$3.00 for single copies or \$10 for full set.

Mims, Julian L., "Using Microfilm; A Guide for Local Governments," Local Government Records Technical Publication Series, No. 5. Albany: National Association of Government Archives and Records Administrators, the International Institute of County Clerks and the National Association of Counties, February 1992. \$3.00 for single copies or \$10 for full set.

Smith, Harmon, "Protecting Records; A Guide for Local Governments," Local Government Records Technical Publication Series, No. 4. Albany: National Association of Government Archives and Records Administrators, The International Institute of County Clerks and the National Association of Counties, March 1992. \$3.00 for single copies or \$10 for full set.

Stephens, David O., "The Daily Management of Records and Information; A Guide for Local Governments," Local Government Records Technical Publication Series, No. 3. Albany: National Association of Government Archives and Records Administrators, the International Institute of County Clerks and the National Association of Counties, November 1991. \$3.00 for single copies or \$10 for full set.

Thompson, Enid, Local History Collections: A Manual for Librarians. Nashville: Association for State and Local History, 1978. \$6.25.

White, Kenneth, "Applying Computer Technology to Records Systems; A Guide for Local Government," Local Government Records Technical Publication Series, No. 6. Albany: National Association of Government Archives and Records Administrators, the International Institute of County Clerks and the National Association of Counties, March 1992. \$3.00 for single copies or \$10 for full set.

Chapter 8- Destruction of Records

LEGALITY OF DESTRUCTION

Destroying public records *without lawful authority* is a class 4 felony (A.R.S. §38-421). The Arizona State Library, Archives and Public Records is charged by law (A.R.S. §41-1347), with the responsibility of authorizing the destruction of qualified public records.

As stated earlier in this manual, no record should be destroyed while it still has significant value . . . but no record should be maintained after its potential use does not justify cost of continued retention. The determination of value is ultimately the responsibility of the Arizona State Library, Archives and Public Records (A.R.S. §41-1347) and the Department encourages the lawful and timely destruction of eligible records. There are two methods for obtaining authorization for destruction of records:

- For records on approved retention and disposition schedules
- For records not on schedules

RECORDS ON APPROVED SCHEDULES

A retention and disposition schedule approved by the Arizona State Library, Archives and Public Records (including the general and model schedules) is a continuing authority to destroy the listed records at the end of their scheduled retention period. With an approved schedule, an agency may destroy listed records without further approval.

These schedules DO NOT pre-empt good judgment. Records required for legal or audit purposes beyond the recommended retention must be maintained until cleared by the appropriate authority before destruction.

Destruction must be reported to the Arizona State Library, Archives and Public Records after it has taken place (A.R.S. §41-1351). To simplify and standardize the reporting of records destruction, the "Report of Records Destruction/ Certificate of Destruction" must be used. Figure II- 6 illustrates a properly "Report of Records Destruction/ Certificate of Destruction." The "Report of Records Destruction/ Certificate of Destruction" is available on request, in paper and PDF formats, from the Records Management Division. (In 2002 this form will be available in screen fillable PDF format at the agency website, www.lib.az.us.)

Please print clearly or use a typewriter for the paper form. Complete the form as follows:

1. In the upper right corner "Authority" enter the approval date of the agency retention schedule; if a support or model schedule is used enter the date it was approved and give the name of the function.

2. Complete the "FROM" section with the county name, official agency name, office name, address and zip code.
3. List the "Record Series" destroyed using the **exact** record series name(s) found on the approved schedule.
4. Enter the earliest date under "From" and the latest date under "Thru".
5. For paper estimate the volume, in cubic feet, of records destroyed. For computer records ignore the volume destroyed.
One letter size file drawer = 1.5 cu. ft.
One legal size file drawer = 2.0 cu. ft.
6. At the bottom of the certificate enter the date on which the records were destroyed, the method of destruction and the signature of the individual performing or witnessing the destruction.

RECORDS NOT ON APPROVED SCHEDULES

Records not on approved schedules may be destroyed only with explicit approval from the Director of the Arizona State Library, Archives and Public Records. To request approval to destroy records a "Single Request" (Form RMC-4) must be used. A properly completed "Single Request" is illustrated in Figure II-7.

The "Single Request" is available in paper form only, upon request, from the Records Management Division. Please use a print clearly or use a typewriter to complete the form.

1. ***DO NOT MAKE ANY ENTRIES IN THE SHADED AREAS.***
2. Complete the identification section with the date, county name, official agency name, office name, address, phone and zip.
3. The individual assigned with the duty of custodian for the records listed must sign the request. The name of that individual must be typed in the "Submitted by" area.
4. List the RECORD SERIES to be destroyed using the name of the series and a brief description if necessary.
5. Enter the earliest date of the records (FROM) and the date of the latest records (THRU).
6. Estimate the volume of paper records in cubic feet.
One letter size file drawer = 1.5 cu. ft.
One legal size file drawer = 2.0 cu. ft.
7. ***STOP.*** Remove the goldenrod copy and retain it in suspense. Send the balance of the form intact to the Records Management Division. The Director of the Arizona State Library, Archives and Public Records will provide authorization using a code placed in the "Code" column beside each record series listed. Following approval by the Director, Arizona State Library, Archives and Public Records, the Records

Management Division will return the white and yellow copies to the requester for certification of destruction.

8. Destruction shall take place within 60 days of the approval date. Following destruction of the records, complete the bottom of the form with the name of the person actually destroying or supervising the destruction of the records and the date the records were actually destroyed.
9. Send the white (top) copy of the completed form to the Records Management Division. Retain the yellow copy in your office for two years.

METHODS OF DESTRUCTION

The great majority of records produced by counties are accessible to the general public pursuant to A.R.S. §39- 121. Records are not restricted or confidential unless specifically identified as such by statute. There is, therefore, no reason to destroy most public records with the exactness required for the destruction of confidential or restricted records.

The most desirable method of destruction for non-confidential public records is recycling. Recycling is simply the sale of the old records to a commercial firm which will eventually reprocess the old paper into new. Microfilm records can also be recycled by silver recyclers. Recycling is a source of revenue and ensures the total destruction of the records.

Shredding, pulping, mastication and disintegration are all thorough destruction methods. These methods typically require expensive specialized equipment and are labor intensive. Although thorough, they are generally incomplete methods as their end products must still be disposed of. These destruction methods should only be used for confidential or restricted records because of the relatively high cost incurred.

Burning is an inexpensive and effective method of very thorough records destruction. However, incinerators and open fires are against the law in most areas. Burning should only be used where it is legal and when it can be safely monitored and contained. Burning, when executed properly, is an extremely effective method

ideal for destruction of confidential or restricted records. It is time consuming and requires constant monitoring, making it too labor intensive for most public records destruction.

Landfill is *not* particularly recommended as a destruction method for government records. Burying records in a landfill may make the records unusable for most practical purposes, but it is not effective in truly destroying the records. Records buried in a landfill in desert areas, such as most of Arizona, may actually be preserved by the act of burying them in a dry, relatively sterile and ultra-violet free environment. Although an inexpensive option burying in a landfill can not guaranty the destruction of the records.

TRANSFER OF RECORDS

Occasionally, there may be a need to transfer records from from a political sub-division to a state agency, from a county to a municipal government, from a state agency to a political sub-division or from a state or county agency to the State Archives. This may come about because of a change in jurisdiction over some project or function or because the State Archives desires the records for their historical value.

The "Single Request" described above has also been designed to serve this purpose. Follow all of the directions above indicating that a transfer is being recommended. The Director, Arizona State Library, Archives and Public Records will review the single request and will most likely approve the transfer between any two public bodies. Transfers of public records to private individuals, private organizations or corporations will normally not be approved.

In some cases, the State Archives may request the transfer of records when an agency wishes to dispose of them. In these cases, the Director will usually approve the transfer.

The bottom of the "Single Request" has been designed so as to also document the transfer of records. As with destruction the white (top) copy is sent to the Records Management Division and the yellow copy is kept in the transferring agency's files for two years.

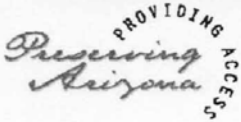
REPORT/CERTIFICATE OF RECORDS DESTRUCTION				
		Arizona State Library, Archives and Public Records RECORDS MANAGEMENT DIVISION 1919 West Jefferson Street Phoenix, Arizona 85009 Phone: 602-542-3741 Fax: 602-542-3890 E-mail: rmd@lib.az.us		AUTHORITY Date of approved schedule or manual
<input type="checkbox"/> STATE AGENCY		<input type="checkbox"/> POLITICAL SUBDIVISION		DATE
AGENCY NAME		ORGANIZATIONAL UNIT		PHONE
ADDRESS		CITY	AZ	ZIP
LIST RECORDS DESTROYED				
RECORD SERIES	DATES COVERED		ESTIMATED VOLUME *	
	FROM	THRU		
CERTIFICATE				
The above records have been destroyed so as to render them totally useless.				
DESTROYED BY (NAME)		TITLE		
SIGNATURE X			DATE	
* Volume of paper records is estimated in cubic feet to the nearest whole number. Volume of digital records may be stated by the estimated memory volume it consumed.				

Figure 5

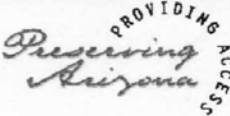
SINGLE REQUEST FOR RECORDS DESTRUCTION OR TRANSFER				
 <div style="display: inline-block; text-align: center;"> Arizona State Library, Archives and Public Records RECORDS MANAGEMENT DIVISION 1919 West Jefferson Street Phoenix, Arizona 85009 Phone: 602-542-3741 Fax: 602-542-3890 E-mail: rmd@lib.az.us </div>			CONTROL NO. For RMD use only.	
<input type="checkbox"/> STATE AGENCY		<input type="checkbox"/> POLITICAL SUBDIVISION		DATE
AGENCY NAME		ORGANIZATIONAL UNIT		PHONE
ADDRESS		CITY	AZ	ZIP
LIST RECORDS TO BE DESTROYED OR TRANSFERRED				
CODE Provided by ASLAPR	RECORD SERIES	DATES COVERED		ESTIMATED VOLUME *
		FROM	THRU	
HISTORY & ARCHIVES COMMENTS		RECORDS MANAGEMENT COMMENTS		
AUTHORIZATION				
CODE	A – Transfer to Arizona State Library, Archives and public Records. B – Continue to hold until _____. C – Transfer to _____. D – Destroy so as to render unusable.			
AUTHORIZED/APPROVED BY X Director, Arizona State Library, Archives and Public Records			DATE	
CERTIFICATE				
<input type="checkbox"/> The above records have been DESTROYED so as to render them totally useless.				
<input type="checkbox"/> The above records were TRANSFERRED per direction.				
BY (NAME)			TITLE	
SIGNATURE X			DATE	
<i>* Volume of paper records is estimated in cubic feet to the nearest whole number. Volume of digital records may be stated by the estimated memory volume it consumes.</i>				

Figure 7